

# Completed Learning History

**Name:** Hardik Bhimani  
**Employee Number:** 22704259  
**Report Date:** 16-Dec-2015

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
AFSL General Awareness	Acquired	Compliance/Qualification	12-Apr-2011		0.75
AML Procedures	Acquired	Compliance/Qualification	13-Apr-2011		0.75
Aggressive Customer Training		Role Based/Qualification	06-Sep-2011	Wholesale CE	0.5
Anti-Money Laundering & Counter Terrorism Financing Risk Awareness	Acquired	Compliance/Qualification	12-Apr-2011		0.75
Code of Conduct	Acquired	Compliance/Qualification	12-Apr-2011		0.6
Compliance Risk Awareness 2011	Acquired	Compliance/Qualification	23-Feb-2012	Wholesale Compliance CE	1.25
Corporate Cards - The Right Way		Role Based/Qualification	06-Sep-2011		0.5
Customer Connections - Wealth Management		Role Based/Qualification	12-Apr-2011		0
Customer Feedback	Acquired	Compliance/Qualification	13-Apr-2011		1.75
Discrimination, Harassment & Bullying	Acquired	Compliance/Qualification	13-Apr-2011		2
Electronic Funds Transfer Code of Conduct	Acquired	Compliance/Qualification	13-Apr-2011		1
Emergency and Evacuation (BECO)	Acquired	Compliance/Qualification	13-Apr-2011		0.5
Emergency and Evacuation (BECO)	Acquired	Compliance/Qualification	23-Feb-2012		0.5
Fraud Prevention - Learning	Successful	Learning	12-Apr-2011		1
Health & Safety	Acquired	Compliance/Qualification	13-Apr-2011	Prac Mgmt & Bus Skills	1.5
Health and Safety	Acquired	Compliance/Qualification	21-Aug-2012	Wholesale Compliance CE	1
Introduction to SAP		Role Based/Qualification	12-Apr-2011		0.5
NAB & MLC - IT Security Awareness	Successful	Learning	13-Apr-2011	Wholesale Compliance CE	1
NAB Mortgage Protect	Acquired	Compliance/Qualification	19-Jun-2012	Lending	0
Portfolio Package and Private Portfolio Package: Overview		Role Based/Qualification	12-Apr-2011		0
Portfolio Package and Private Portfolio Package: Overview (Retail Only)		Role Based/Qualification	12-Apr-2011		0

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
Privacy Awareness	Acquired	Compliance/Qualification	13-Apr-2011		2.5
Trade Practices Act General Awareness	Acquired	Compliance/Qualification	13-Apr-2011		1.25

# Completed Learning History

**Name:** Gerard McCormack  
**Employee Number:** 22660598  
**Report Date:** 15-Dec-2015

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
AFSL General Awareness	Acquired	Compliance/Qualification	13-Nov-2006		0
AML Procedures	Acquired	Compliance/Qualification	21-May-2009		0.75
AML Procedures	Acquired	Compliance/Qualification	17-May-2011		0.75
Aggressive Customer Training		Role Based/Qualification	05-Sep-2011	Wholesale CE	0.5
Anti-Money Laundering & Counter Terrorism Financing Risk Awareness	Acquired	Compliance/Qualification	17-Dec-2007		0.75
Code of Banking Practice	Acquired	Compliance/Qualification	13-Dec-2007		1.25
Code of Conduct	Acquired	Compliance/Qualification	13-Nov-2006		0
Compliance Refresher Program 07/08	Acquired	Compliance/Qualification	02-May-2008		1.5
Compliance Refresher Program 08/09	Acquired	Compliance/Qualification	21-May-2009	Wholesale Compliance CE	1.5
Compliance Risk Awareness 2011	Acquired	Compliance/Qualification	17-Feb-2012	Wholesale Compliance CE	1.25
Customer Connections - Wealth Management		Role Based/Qualification	13-Apr-2011		0
Customer Feedback	Acquired	Compliance/Qualification	22-Oct-2007		1.75
Customer Feedback	Acquired	Compliance/Qualification	09-Nov-2011		1.75
Customer Feedback	Acquired	Compliance/Qualification	05-Dec-2011		1.75
Customer Feedback	Acquired	Compliance/Qualification	16-Nov-2009		2.75
Discrimination, Harassment & Bullying	Acquired	Compliance/Qualification	14-Nov-2006		0
Electronic Funds Transfer Code of Conduct	Acquired	Compliance/Qualification	01-Jun-2012		1
Electronic Funds Transfer Code of Conduct	Acquired	Compliance/Qualification	13-Dec-2007		1
Electronic Funds Transfer Code of Conduct	Acquired	Compliance/Qualification	03-Mar-2010		1
Emergency and Evacuation (BECO)	Acquired	Compliance/Qualification	24-Dec-2009		0.5
Emergency and Evacuation (BECO)	Acquired	Compliance/Qualification	17-Dec-2010		0.5

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
Emergency and Evacuation (BECO)	Acquired	Compliance/Qualification	22-Dec-2008		1
Emergency and Evacuation (BECO)	Acquired	Compliance/Qualification	04-Jan-2012		0.5
Emergency and Evacuation (BECO)	Acquired	Compliance/Qualification	13-Dec-2007		1
Fraud Prevention - Assessment	Successful	Learning	20-Nov-2006		0
Fraud Prevention - Learning	Successful	Learning	15-Nov-2006		1
Fraud Prevention - Workplace Assessment	Successful	Learning	17-Dec-2007		0
General Accounts - Transactions - Assessment	Successful	Learning	15-Nov-2006		0
General Accounts - Transactions - Learning	Successful	Learning	15-Nov-2006		0
General Accounts - Transactions - Workplace Assessment	Successful	Learning	17-Dec-2007		0
Getting Behind the Customer Promise		Role Based/Qualification	16-Sep-2008		0
Handling Customer Complaints: An Introduction		Role Based/Qualification	20-Apr-2009		0
Health & Safety	Acquired	Compliance/Qualification	31-Mar-2010	Prac Mgmt & Bus Skills	0.75
Health and Safety	Acquired	Compliance/Qualification	29-Aug-2012	Wholesale Compliance CE	1
Health and Safety - Employee	Successful	Learning	08-Nov-2007		2.3
NAB & MLC - IT Security Awareness	Successful	Learning	04-Apr-2008	Wholesale Compliance CE	1
Obligations Under the FTRA and AML/CTF Act	Acquired	Compliance/Qualification	13-Dec-2007		0.8
Portfolio Package and Private Portfolio Package: Overview		Role Based/Qualification	21-Nov-2006		0
Privacy Awareness	Acquired	Compliance/Qualification	15-Nov-2006		0
References and Other Information - Assessment	Successful	Learning	20-Nov-2006		0
References and Other Information - Learning	Successful	Learning	20-Nov-2006		0
Risk Awareness 2010	Acquired	Compliance/Qualification	10-Aug-2010	Wholesale Compliance CE	0.75
SAP - ESS essentials	Successful	Learning	21-Nov-2006		0
The Importance Of Insurance - Learning	Successful	Learning	15-Nov-2006		0.5
The Importance Of Insurance - Workplace Assessment	Successful	Learning	17-Dec-2007		0
Trade Practices Act General Awareness	Acquired	Compliance/Qualification	14-Nov-2006		0

## Annexure I

# Completed Learning History

**Name:** Shane Thompson  
**Employee Number:** 20782598  
**Report Date:** 11-Dec-2015

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
AFSL General Awareness	Successful	Learning	20-Aug-2003	Wholesale Compliance CE	0
AML Procedures	Acquired	Compliance/Qualification	14-Dec-2009		0.75
AML Procedures	Acquired	Compliance/Qualification	15-Sep-2011		0.75
AOM Team Leader Module 7: Introduction to Longer Range Planning	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 1: Introducing Active Operations Management	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 2: AOM Basics	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 3: Components of an Operations Management System	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 4: Introduction to Planning	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 5: Operational Control	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 6: Introduction to Variance Analysis	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 7: Introduction to Longer Range Planning	Successful	Learning	20-Aug-2008		0
AOM Team Member Module 8: Introduction to Continuous Improvement	Successful	Learning	20-Aug-2008		0
AUSTRAC - Identification Requirements - Assessment	Successful	Learning	08-Mar-2002		0
AUSTRAC - Identification Requirements - Learning	Successful	Learning	08-Mar-2002		0
AUSTRAC - Identification Requirements - Workplace Assessment	Successful	Learning	08-Mar-2002		0
AUSTRAC Requirements for - Learning	Successful	Learning	16-Jul-2002		0
AUSTRAC Requirements for - Workplace Assessment	Successful	Learning	16-Jul-2002		0
Aggressive Customer Training		Role Based/Qualification	17-Jun-2011	Wholesale CE	0.5
Anti-Money Laundering & Counter Terrorism Financing Risk Awareness	Acquired	Compliance/Qualification	03-Oct-2007		0.75
Australian Bankers' Association Small Business Principles - Assessment	Successful	Learning	08-Mar-2002		0
Australian Bankers' Association Small Business Principles - Learning	Successful	Learning	08-Mar-2002		0

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
Australian Bankers' Association Small Business Principles - Workplace Assessment	Successful	Learning	08-Mar-2002		0
Code of Banking Practice	Successful	Learning	24-Jun-2003	Wholesale Compliance CE	0
Code of Conduct - Assessment	Successful	Learning	10-May-2005		0
Code of Conduct - Learning	Successful	Learning	10-May-2005		0
Comparison Rates (UCCC) - Assessment	Successful	Learning	25-Jun-2003		0
Compliance Refresher Program 07/08	Acquired	Compliance/Qualification	27-Feb-2008		1.5
Compliance Refresher Program 08/09	Acquired	Compliance/Qualification	16-Jun-2009	Wholesale Compliance CE	1.5
Compliance Refresher Program: non customer facing 06-07	Successful	Learning	31-Oct-2006		0
Compliance Risk Awareness 2011	Acquired	Compliance/Qualification	11-Jan-2012	Wholesale Compliance CE	1.25
Consumer Credit Code	Acquired	Compliance/Qualification	28-Aug-2009		2.7
Consumer Credit Code	Acquired	Compliance/Qualification	09-Sep-2009		2.7
Consumer Credit Code	Acquired	Compliance/Qualification	09-Aug-2007		0
Consumer Credit Code - Account Maintenance - Assessment	Successful	Learning	15-Jun-2006		0
Consumer Credit Code - Account Maintenance - Learning	Successful	Learning	15-Jun-2006		0
Consumer Credit Code - Credit Assessment, Fating & Verification - Assessment	Successful	Learning	14-Jun-2006		0
Consumer Credit Code - Credit Assessment, Fating & Verification - Learning	Successful	Learning	14-Jun-2006		0
Consumer Credit Code - Document Execution - Assessment	Successful	Learning	15-Jun-2006		0
Consumer Credit Code - Document Execution - Learning	Successful	Learning	14-Jun-2006		0
Consumer Credit Code - Document Preparation - Assessment	Successful	Learning	15-Jun-2006		0
Consumer Credit Code - Document Preparation - Learning	Successful	Learning	14-Jun-2006		0
Consumer Credit Code - Document Processing & Loan Establishment - Assessment	Successful	Learning	15-Jun-2006		0
Consumer Credit Code - Document Processing & Loan Establishment - Learning	Successful	Learning	15-Jun-2006		0
Consumer Credit Code - Enquiry - Assessment	Successful	Learning	25-Jul-2002		0
Consumer Credit Code - Enquiry - Learning	Successful	Learning	25-Jul-2002		0
Consumer Credit Code - Enquiry - Workplace Assessment	Successful	Learning	25-Jul-2002		0

## Annexure I

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
Consumer Credit Code - Interview/Application - Assessment	Successful	Learning	14-Jun-2006		0
Consumer Credit Code - Interview/Application - Learning	Successful	Learning	14-Jun-2006		0
Consumer Credit Code - Lending Process Overview - Learning	Successful	Learning	25-Jul-2002		0
Consumer Credit Code - Understanding & Complying - Assessment	Successful	Learning	25-Jul-2002		0
Consumer Credit Code - Understanding & Complying - Learning	Successful	Learning	25-Jul-2002		0
Credit Card Interest		Role Based/ Qualification	16-Jun-2009		0
Customer Connections - Wealth Management		Role Based/ Qualification	06-Apr-2011		0
Customer Feedback	Acquired	Compliance/ Qualification	13-Dec-2012		1.75
Customer Feedback	Acquired	Compliance/ Qualification	14-Sep-2010		2.75
Customer Feedback	Acquired	Compliance/ Qualification	14-Dec-2006		0
Customer Feedback	Acquired	Compliance/ Qualification	30-Sep-2008		2.75
Customer Resolutions Self Learn Workbook - Workplace Assessment	Successful	Learning	16-Jul-2002		0
Disability Awareness - Assessment	Successful	Learning	22-Mar-2005		0
Discrimination Awareness - Assessment	Successful	Learning	09-Nov-2001		0
ESS	Successful	Learning	24-Sep-2004		0
Electronic Funds Transfer Code of Conduct	Acquired	Compliance/ Qualification	09-Aug-2007		0
Electronic Funds Transfer Code of Conduct	Acquired	Compliance/ Qualification	02-Sep-2011		1
Electronic Funds Transfer Code of Conduct	Acquired	Compliance/ Qualification	09-Sep-2009		1
Emergency and Evacuation (BECO)	Acquired	Compliance/ Qualification	16-May-2011		0.5
Emergency and Evacuation (BECO)	Acquired	Compliance/ Qualification	13-Aug-2010		0.5
Emergency and Evacuation (BECO)	Acquired	Compliance/ Qualification	07-Aug-2009		1
Emergency and Evacuation (BECO)	Acquired	Compliance/ Qualification	06-Jun-2012		0.5
Emergency and Evacuation (BECO)	Acquired	Compliance/ Qualification	07-Aug-2008		1
Emergency and Evacuation (BECO)	Acquired	Compliance/ Qualification	15-Aug-2007		1
Fraud Prevention - Assessment	Successful	Learning	29-Dec-2009		0

## Annexure I

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
Fraud Prevention - Assessment	Successful	Learning	29-Dec-2009		0
Fraud Prevention - Learning	Successful	Learning	29-Dec-2009		1
Fraud Prevention - Workplace Assessment	Successful	Learning	23-Jun-2010		0
Getting Behind the Customer Promise		Role Based/ Qualification	30-Jul-2008		0
Global Orientation & Induction		Role Based/ Qualification	29-Sep-2008		1
Handling Customer Complaints: An Introduction		Role Based/ Qualification	09-Apr-2009		0
Health & Safety	Acquired	Compliance/ Qualification	15-Sep-2011	Prac Mgmt & Bus Skills	1.5
Health & Safety	Acquired	Compliance/ Qualification	14-Dec-2009	Prac Mgmt & Bus Skills	0.75
Health and Safety	Acquired	Compliance/ Qualification	25-Jul-2012	Wholesale Compliance CE	1
Health and Safety - Employee	Successful	Learning	15-Aug-2007		0
Introduction to MLC Insurance and MLC Insurance (Super)	Successful	Learning	26-Oct-2011		0
NAB & MLC - IT Security Awareness	Successful	Learning	06-Dec-2007	Wholesale Compliance CE	1
NAB Mortgage Protect	Acquired	Compliance/ Qualification	06-Jun-2012	Lending	1
OHS General Office Safety - Assessment	Successful	Learning	26-Sep-2000		0
OHS General Office Safety - Learning	Successful	Learning	26-Sep-2000		0
OHS General Office Safety - Workplace Assessment	Successful	Learning	26-Sep-2000		0
OHS Manual Handling - Assessment	Successful	Learning	26-Sep-2000		0
OHS Manual Handling - Learning	Successful	Learning	26-Sep-2000		0
OHS Manual Handling - Workplace Assessment	Successful	Learning	26-Sep-2000		0
OHS Stress - Assessment	Successful	Learning	26-Sep-2000		0
OHS Stress - Learning	Successful	Learning	26-Sep-2000		0
OHS Stress - Workplace Assessment	Successful	Learning	26-Sep-2000		0
Obligations Under the FTRA and AML/CTF Act	Acquired	Compliance/ Qualification	09-Aug-2007		0
Occupational Health & Safety - Assessment	Successful	Learning	31-Aug-2004		0
Occupational Health & Safety - Reassessment	Successful	Learning	08-Aug-2006		0

## Annexure I

Record Name	Status	Record Type	Acquired On	Field Of Study	CE Points
Occupational Health & Safety Course	Successful	Learning	02-Sep-2005		0
Occupational Health and Safety - Assessment	Successful	Learning	26-Sep-2000		0
Occupational Health and Safety - Learning	Successful	Learning	26-Sep-2000		0
Occupational Health and Safety - Workplace Assessment	Successful	Learning	26-Sep-2000		0
Portfolio Package and Private Portfolio Package Strategies and Solutions		Role Based/ Qualification	31-Mar-2010		0
Portfolio Package and Private Portfolio Package: Overview		Role Based/ Qualification	31-Mar-2010		0
Portfolio Package and Private Portfolio Package: Overview		Role Based/ Qualification	14-Dec-2009		0
Portfolio Package and Private Portfolio Package: Overview		Role Based/ Qualification	31-Mar-2010		0
Privacy Awareness	Successful	Learning	14-Nov-2001	Wholesale Compliance CE	0
Risk Awareness 2010	Acquired	Compliance/ Qualification	13-Aug-2010	Wholesale Compliance CE	0.75
SAP - ESS essentials for Casuals	Successful	Learning	24-Sep-2004	Wholesale CE	0
Sexual Harassment - Assessment	Successful	Learning	18-May-2001		0
Sexual Harassment - Learning	Successful	Learning	18-May-2001		0
Sexual Harassment - Workplace Assessment	Successful	Learning	18-May-2001		0
Support When Sick - Enterprise Agreement	Successful	Learning	07-May-2007		0
TPA 2004 - Reassessment 2 - Assessment	Successful	Learning	22-Jun-2004		0
TPA 2004 - Reassessment 2 - Assessment	Successful	Learning	25-Jun-2004		0
TPA Module 1 - Introduction to Trade Practices Law - Assessment	Successful	Learning	01-May-2002		0
TPA Module 10 - Overview of Trade Practices Law - Assessment	Successful	Learning	22-Jul-2005		0
TPA Module 10 - Overview of Trade Practices Law - Learning	Successful	Learning	22-Jul-2005		0
TPA Module 2 - Misleading or Deceptive Conduct & False Representations - Assessment	Successful	Learning	01-May-2002		0
TPA Module 3 - Unconscionable Conduct - Assessment	Successful	Learning	01-May-2002		0
Working with the Trade Practices Act - Assessment	Successful	Learning	28-Jul-2000		0
Working with the Trade Practices Act - Learning	Successful	Learning	28-Jul-2000		0
Working with the Trade Practices Act - Workplace Assessment	Successful	Learning	28-Jul-2000		0