

NORTHERN TERRITORY OF AUSTRALIA

COMMERCIAL AND PRIVATE AGENTS LICENSING REGULATIONS 2001

As in force at 27 November 2023

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NORTHERN TERRITORY OF AUSTRALIA

As in force at 27 November 2023

COMMERCIAL AND PRIVATE AGENTS LICENSING REGULATIONS 2001

Regulations under the *Commercial and Private Agents Licensing Act 1979*

Part 1 Preliminary matters

1 Citation

These Regulations may be cited as the *Commercial and Private Agents Licensing Regulations 2001*.

2 Commencement

These Regulations come into operation on the commencement of the *Commercial and Private Agents Amendment Act 2000*.

3 Definition

In these Regulations, **ADI** has the same meaning as in the *Banking Act 1959* of the Commonwealth.

Part 2 Approval of agents' managers under section 17E of the Act

4 Application to be agent's manager

- (1) An individual who intends to be the manager of a place where an agent carries on or will carry on business must apply to the Director to be approved as the agent's manager at that place.
- (2) The application is to:
 - (a) be in writing; and
 - (b) be accompanied by an application fee of 55 revenue units.
- (3) The Director must not accept the application unless it is in an approved form.

5 Director may require additional information

- (1) The Director may request an applicant under regulation 4 to:
 - (a) provide information additional to that contained in his or her application; or
 - (b) provide a document relating to information contained in the application or the additional information; or
 - (c) appear personally before the Director and provide further information in connection with the application.
- (2) The Director may make enquiries to ascertain the suitability of the applicant to be a manager.

6 Grounds for refusing to approve person as manager

- (1) The Director must refuse to approve a person as an agent's manager if:
 - (a) the person is less than 18 years of age; or
 - (b) the person is disqualified under section 17P of the Act from holding a licence; or
 - (c) the person is taking the benefit of a law for the relief of bankrupt or insolvent debtors or is a person whose remuneration is being assigned for the benefit of creditors; or
 - (d) the person fails to comply with a request of the Director under regulation 5; or
 - (e) in the opinion of the Director, the applicant is not likely to manage the business of the agent honestly and fairly; or
 - (f) in the opinion of the Director, the person is in any other way not a fit and proper person to manage the business of the agent; or
 - (g) in the opinion of the Director, the person is a person to whom the Director would, if that person were applying for a licence, refuse to grant the licence.

- (2) Without limiting subregulation (1)(e), (f) or (g), in determining whether a person is a fit and proper person to manage the business of an agent, the Director must have regard to whether the person:
- (a) has, during the period of 10 years immediately before the date the applicant made his or her application, been found guilty of or served a part of a term of imprisonment for an offence (wherever committed) involving fraud, dishonesty or physical violence; or
 - (b) was, at the time the application was made, the subject of a charge in relation to such an offence ; or
 - (c) has at any time been found guilty of an offence against the Act, these Regulations, any other regulations made under the Act, or any other enactment administered by the Minister.

7 Approval of manager

- (1) Unless the Director is required to refuse to approve a person as a manager under regulation 6, the Director must approve a person as the manager of a place where an agent carries on or will carry on business.
- (2) The Director must notify, in writing, an applicant for approval as a manager that the applicant:
- (a) is approved as manager; or
 - (b) is not approved as manager;
- within 45 days of the date on which the applicant's application was made.
- (3) A notice under subregulation (2)(b) must:
- (a) set out the Director's reasons for the decision; and
 - (b) state that the applicant may make an application to NTCAT for review of the decision under section 35 of the Act.

8 Duration of approval

- (1) An approval of a person as manager given under regulation 7 has effect:
- (a) until the expiry of the licence of the agent for whom he or she is manager; or
 - (b) until the licence of the agent is revoked; or

- (c) until the licence of the agent is surrendered; or
 - (d) subject to subregulation (2) – unless the agent dies or, if the agent is a corporation, unless it is dissolved.
- (2) Subregulation (1)(d) does not apply if the Director authorises a person under section 17F(2) of the Act to carry on the deceased agent's business as an agent and that person carries on the deceased agent's business in accordance with the authorisation.

9 Revocation of approval

- (1) The Director may revoke an approval of a person as manager given under regulation 7 if the approval was obtained by means of fraud or misrepresentation.
- (2) If the Director revokes an approval, the Director must notify, in writing, both the person whose approval is revoked and the agent for whom the person is manager.
- (3) The notice under subregulation (2) is to:
- (a) specify the reasons why the Director is revoking the approval; and
 - (b) specify either that the revocation takes effect on the date the person whose approval is revoked receives the notice or on the later date specified in the notice; and
 - (c) state that the person whose approval is revoked may make an application to NTCAT for review of the decision under section 35 of the Act.

10 Prescribed reviewable decisions and affected persons

- (1) For section 35(1)(b) of the Act, each of the following decisions of the Director is prescribed to be a **reviewable decision**:
- (a) a decision under regulation 6 to refuse to approve a person as a manager;
 - (b) a decision under regulation 9(1) to revoke the approval of a person as manager.
- (2) For section 35(2)(b) of the Act, each of the following persons is prescribed to be an **affected person** for the reviewable decisions specified in subregulation (1):
- (a) for a decision specified in subregulation (1)(a) – the applicant under regulation 4;

- (b) for a decision specified in subregulation (1)(b) – the person whose approval is revoked by the Director.

Part 3 Other matters

11 Processing fee

For section 7(4)(c) of the Act, the prescribed processing fee is 115 revenue units.

13 Licence fee

The prescribed licence fee to be paid before a licence is issued under section 17A of the Act is as follows:

- (a) for a licence period of 3 years – 100 revenue units;
- (b) for a licence period of 5 years – 149 revenue units.

15 Prescribed records etc.

- (1) For section 25(1) of the Act, the prescribed records and other documents to be kept by an agent are records specifying:
 - (a) for an agent acting in connection with ascertaining the location of any goods delivered pursuant to a hire-purchase agreement, bill of sale, goods mortgage or consumer lease:
 - (i) the full name and address of the person who requested the agent to ascertain the location of the goods; and
 - (ii) the date the agent received the request; and
 - (iii) a description of the goods; and
 - (iv) the location of the goods; and
 - (v) if any premises had to be entered to ascertain the location of the goods – how the entry was made and the exact terms of the authority, document, arrangement or agreement under which the agent legally entered the premises; and
 - (vi) the fee charged for the service; and

- (b) for an agent acting in connection with repossessing any goods delivered pursuant to a hire-purchase agreement, bill of sale, goods mortgage or consumer lease:
 - (i) the full name and address of the person who requested the goods to be repossessed; and
 - (ii) the date the agent received the request; and
 - (iii) the full name and address of the person from whom the goods were repossessed; and
 - (iv) the date and time of day of the repossession; and
 - (v) the names of the persons who repossessed the goods; and
 - (vi) a full description of the goods repossessed; and
 - (vii) the address of the premises at which the goods were repossessed; and
 - (viii) whether the person from whom the goods were repossessed was present at the time of the repossession; and
 - (ix) if that person was not present at the time of the repossession – the names of any other occupants of the premises where the goods were repossessed who were present; and
 - (x) if the person from whom they were repossessed was not present at the time of repossession – how entry was made into the premises from which they were repossessed; and
 - (xi) the exact terms of the authority, document, arrangement or agreement under which the agent legally entered the premises; and
 - (xii) what notice of the repossession of the goods, if any, was given to or left for the person from whom the goods were repossessed; and
 - (xiii) the address to which the repossessed goods were taken; and
 - (xiv) the fee charged for the service; and

- (c) for an agent acting in connection with collecting or requesting payment of debts:
 - (i) the full name and address of the person who requested that the debt be collected or that a request for payment of the debt be made; and
 - (ii) the date the agent received the request; and
 - (iii) the full name and address of the person from whom the debt was collected or to whom the request for payment of the debt was made; and
 - (iv) the amount of the debt; and
 - (v) particulars of requests made for payment of the debt or of action taken to collect the debt; and
 - (vi) the fee charged for the service; and
- (d) for an agent acting as a process server in relation to the service of any process:
 - (i) the name and address of the person requesting the process to be served; and
 - (ii) the date the process was received; and
 - (iii) the nature of the process; and
 - (iv) the full name and address of the person to be served with the process; and
 - (v) the date, place and time of day of service of the process; and
 - (vi) whether the process was served personally on the person; and
 - (vii) if the process was not served personally on the person – the name of the person with whom the process was left and the time, date and place the process was left with that person; and
 - (viii) if the process was not served – the reason for failure to serve the process; and
 - (ix) the fee charged for the service; and

- (e) for an agent acting as an inquiry agent in relation to any inquiry:
 - (i) the full name and address of the person who requested the inquiry to be conducted; and
 - (ii) the date the agent received the request; and
 - (iii) a statement of the nature of the inquiry; and
 - (iv) the date a written statement of the information or evidence obtained or other final report on the inquiry was delivered; and
 - (v) the fee charged for the inquiry.
- (2) The agent must make a record of the particulars mentioned in subregulation (1) as soon as possible after the particulars become known to the agent.

16 Offences for which infringement notices may be issued and amounts payable under infringement notice etc.

- (1) For section 46A(1) of the Act:
 - (a) a prescribed offence is an offence against the provision of the Act specified in Schedule 2, column 1; and
 - (b) the prescribed amount payable by a person who has allegedly committed an offence against a provision of the Act specified in Schedule 2, column 1 is the amount equal to the monetary value of the number of penalty units specified opposite in column 2 of that Schedule.
- (2) If a person who is served a notice under section 46A(1) of the Act intends to pay the prescribed amount in order to avoid prosecution for the offence he or she allegedly committed, the person must pay the amount to the Director within 28 days after the date the notice is served on the person.

17 Repeal

The Regulations specified in Schedule 3 are repealed.

Schedule 2 Infringement offences and penalties

regulation 16

Column 1 Provision of the Act	Column 2 Amount
section 17F(5)	10 penalty units
section 23(5)	4 penalty units
section 25(1)	10 penalty units
section 32	2 penalty units
section 39(1)	1 penalty unit
section 43	4 penalty units

Schedule 3 Repealed Regulations

regulation 17

*Commercial and Private Agents Licensing
Regulations*

Regulations 1980, No. 2

*Amendments of the Commercial and Private
Agents Licensing Regulations*

Regulations 1981, No. 11

*Amendment of Commercial and Private Agents
Licensing Regulations*

Regulations 1999, No. 35

ENDNOTES
1 KEY

Key to abbreviations

amd = amended	od = order
app = appendix	om = omitted
bl = by-law	pt = Part
ch = Chapter	r = regulation/rule
cl = clause	rem = remainder
div = Division	renum = renumbered
exp = expires/expired	rep = repealed
f = forms	s = section
Gaz = Gazette	sch = Schedule
hdg = heading	sdiv = Subdivision
ins = inserted	SL = Subordinate Legislation
lt = long title	sub = substituted
nc = not commenced	

2 LIST OF LEGISLATION***Commercial and Private Agents Licensing Regulations (SL No. 46, 2001)***

Notified	19 December 2001
Commenced	1 December 2001 (r 2, s 2 <i>Commercial and Private Agents Licensing Amendment Act 2000</i> (Act No. 49, 2000) and <i>Gaz G47</i> , 28 November 2001, p 2)

Statute Law Revision Act (No. 2) 2003 (Act No. 44, 2003)

Assent date	7 July 2003
Commenced	7 July 2003

Fees and Charges Amendment Regulations 2009 (SL No. 34, 2009)

Notified	14 December 2009
Commenced	1 January 2010 (r 2)

Statute Law Revision Act 2011 (Act No. 30, 2011)

Assent date	31 August 2011
Commenced	21 September 2011 (<i>Gaz G38</i> , 21 September 2011, p 5)

Local Court (Related Amendments) Act 2016 (Act No. 8, 2016)

Assent date	6 April 2016
Commenced	1 May 2016 (s 2, s 2 <i>Local Court (Repeals and Related Amendments) Act 2016</i> (Act No. 9, 2016) and <i>Gaz S34</i> , 29 April 2016)

Red Tape Reduction (Miscellaneous Amendments) Act 2016 (Act No. 12, 2016)

Assent date	10 May 2016
Commenced	1 July 2016 (<i>Gaz G26</i> , 29 June 2016, p 2)

Commercial and Private Agents Licensing Amendment Regulations 2016 (SL No. 38, 2016)

Notified	2 August 2016
Commenced	2 August 2016

Statute Law Amendment (Territory Economic Reconstruction) Act 2022 (Act No. 5, 2022)

Assent date 14 April 2022
 Commenced pt 7: 25 May 2023 (Gaz G11, 25 May 2023, p 2);
 rem: 25 May 2022 (Gaz G21, 25 May 2022, p 1)

Justice and Licensing Legislation Further Amendment Act 2022 (Act No. 21, 2022)

Assent date 31 October 2022
 Commenced pt 3: 1 February 2023; rem: 21 December 2022 (Gaz G50,
 21 December 2022, p 1)

Statute Law Amendment (NTCAT Conferral of Jurisdiction) Act 2023 (Act No. 24, 2023)

Assent date 21 September 2023
 Commenced 27 November 2023 (Gaz G24, 23 November 2023, p 2)

3 GENERAL AMENDMENTS

General amendments of a formal nature (which are not referred to in the table of amendments to this reprint) are made by the *Interpretation Legislation Amendment Act 2018* (Act No. 22, 2018) to: r 1 and sch 1.

4 LIST OF AMENDMENTS

pt 1 hdg	amd Act No. 30, 2011, s 3
r 4	amd No. 34, 2009, r 10; Act No. 30, 2011, s 3; Act No. 21, 2022, s 50
r 5	amd Act No. 30, 2011, s 3; Act No. 21, 2022, s 50
r 6	amd Act No. 30, 2011, s 3; Act No. 8, 2016, s 45; Act No. 21, 2022, s 50
r 7	amd Act No. 30, 2011, s 3; Act No. 21, 2022, s 50; Act No. 24, 2023, s 52
r 8	amd Act No. 30, 2011, s 3; Act No. 21, 2022, s 50
r 9	amd Act No. 44, 2003, s 6; Act No. 30, 2011, s 3; Act No. 21, 2022, s 50; Act No. 24, 2023, s 53
r 10	amd Act No. 30, 2011, s 3; Act No. 21, 2022, s 50 sub Act No. 24, 2023, s 54
r 11	amd No. 34, 2009, r 10; Act No. 30, 2011, s 3
r 12	amd Act No. 30, 2011, s 3 rep Act No. 5, 2022, s 42
r 13	amd No. 34, 2009, r 10 sub Act No. 12, 2016, s 37 amd No. 38, 2016, r 3
r 14	amd Act No. 30, 2011, s 3 rep Act No. 5, 2022, s 42
r 15	amd Act No. 30, 2011, s 3
r 16	amd Act No. 30, 2011, s 3; Act No. 21, 2022, s 50
sch 1	rep Act No. 5, 2022, s 42