



Portfolio Management Service

A complete portfolio management service
for financial planners, share brokers, accountants,
solicitors and other financial intermediaries.

Dated 1 July 2021

Source of funds

Your source of funds refers to the origin and the means of transfer of the funds to service your account. What is the source of your contributions into your account?

Employment Investments Other (please specify eg sale of real estate, inheritance)

Are you a tax resident of Australia? Yes No

Are you a tax resident of another country? Yes No

*Please answer both tax residency questions as you can be a tax resident of more than one country. **If you are only a tax resident of Australia and no other country please proceed to AET My Portfolio access.***

Foreign Residents only – Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)

Under FATCA and CRS laws, we are required to ask all investors to provide additional information about their tax residency. Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person’s residence or place of work. This information will be reported to the relevant tax authority within Australia or internationally. Refer to section 10 for information.

For all countries where you are a tax resident please provide a TIN (Tax Identification Number) which is the number assigned by each country for the purposes of administering tax laws such as a Social Security Number in the US. If a TIN cannot be provided, please list one of the three reasons specified below (A, B or C) for not providing a TIN.

Reasons for not providing a TIN – please select one reason below (if applicable).

Reason A – The country of tax residency does not issue TINs to tax residents, or

Reason B – You have not been issued with a TIN, or

Reason C – The country of tax residency does not require the TIN to be disclosed.

Country	TIN	Reason for no TIN

If there are more countries, provide details on a separate sheet and tick this box .

Note: it is important that we hold up to date records, so please call AET ClientFirst on 1800 254 180 if the details you have provided change at any time.

AET My Portfolio access

Please advise (✓) whether you would like to obtain access to AET My Portfolio:

Yes

No

Investor 2

Title Surname

Given name(s)

Birth date (dd/mm/yyyy) / / Gender Male Female

Email address

If you are residing overseas, you must complete and submit

An Overseas Investor form (aetmyportfolio.com.au)

Original certified copies of your identification documents.

Politically Exposed Person (PEP)

Politically Exposed Persons are individuals who occupy a prominent public position or function in a government body or international organisation, both within and outside Australia. This definition also extends to their immediate family members and close associates.

Are you a Politically Exposed Person? Yes No

If you have nominated yourself to be a Politically Exposed Person, you must complete and attach:

a Politically Exposed Persons form (aetmyportfolio.com.au)

original certified copies of your identification documents.

Source of wealth

Your source of wealth refers to the origin of your financial standing or total net worth ie how you have generated your wealth. What is the source of your wealth?

Employment Investments Other (please specify eg inheritance)

Source of funds

Your source of funds refers to the origin and the means of transfer of the funds to service your account. What is the source of your contributions into your account?

Employment Investments Other (please specify eg sale of real estate, inheritance)

Are you a tax resident of Australia? Yes No

Are you a tax resident of another country? Yes No

*Please answer both tax residency questions as you can be a tax resident of more than one country. **If you are only a tax resident of Australia and no other country please proceed to AET My Portfolio access.***

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Reasons for not providing a TIN – please select one reason below (if applicable).

Reason A – The country of tax residency does not issue TINs to tax residents, or

Reason B – You have not been issued with a TIN, or

Reason C – The country of tax residency does not require the TIN to be disclosed.

Country	TIN	Reason for no TIN

If there are more countries, provide details on a separate sheet and tick this box

Note: it is important that we hold up to date records, so please call AET ClientFirst on 1800 254 180 if the details you have provided change at any time.

Section 6: Investment ownership

Custodial ownership

I/We confirm that I/we require AET to act as Custodian for all managed funds, term deposits and listed securities (excluding those listed securities that may be offered for security against margin lending which are to remain in my/our name).

I/We acknowledge that by appointing AET as Custodian over my/our portfolio AET will in its capacity as custodian:

- hold the portfolio's Australian listed shares and managed funds in trust on behalf of the account
- act on instructions provided by me/us or my/our financial adviser
- keep portfolio account assets distinct and separate from its own assets
- be prohibited from placing a charge, mortgage or any other encumbrance over any of the portfolio's assets
- accept responsibility for any liability arising from its failure to exercise reasonable care based on the standard applicable to custodians, and
- endeavour to comply with all relevant laws when dealing with the portfolio's assets.

Own name ownership

I/We confirm that I/we require all assets (excluding wholesale funds), to be held in my/our own name C/- Australian Executor Trustees.

Section 7: Adviser Service Fees

- AET is required to obtain specific written consent before a fee for financial advice can be deducted from your account. You are not under any obligation to consent to the fee being deducted.
- You may revoke your consent at any time by contacting AET via the options at the end of this form. Once your consent is revoked, no further fees will be deducted from your account however any amounts paid before you revoke your consent will not be automatically refunded.

Fees should be provided including GST. Please provide your consent below.

Consent end date

Consent end date (required) / /

The consent end date is the date when all ongoing advice fees will end if we have not received your consent to continue. Your consent to an ongoing fee arrangement ends 150 days after the next anniversary date (which is the anniversary of the day you entered into the ongoing fee arrangement with your financial adviser which should be shown in the fee disclosure statement your financial adviser provided to you).

Advice fee – Ongoing (per annum)

Flat fee (dollar amount) \$. pa

This fee is pro-rated equally and deducted monthly in arrears.

AND/OR

A percentage based fee of your total account balance per annum . % pa

Your adviser has estimated a fee of \$ for the 12 months commencing / /

This fee will be based on the value of your account on the last day of the month and deducted monthly in arrears.

Advice fee – One off

Flat fee (dollar amount) \$.

This fee is deducted from your Cash Account as instructed by you. A new request must be supplied each time you would like this fee to be applied.

Advice Fees Applicant Declaration

- I/We authorise AET to charge the advice fee(s) selected against my/our account.
- The amount of any advice fee(s) that are paid to my/our financial adviser, or their Australian Financial Services Licensee (Licensee) as agreed by me/us, will be an additional cost to me/us and charged against my/our account. An advice fee will not be charged unless I/we tell AET to do so.
- Any agreed advice fee(s) will be charged to my/our account and paid in full to the financial adviser, or their Licensee, until I/we instruct AET to cease payment or when I/we change my/our nominated financial adviser.

- I declare I am a licensed financial adviser (or an authorised representative of a licensee) and that my license/licensee permits me to provide advice in relation to the PMS. I confirm I have provided all relevant disclosures to my client(s) in relation to their investment in the PMS and their chosen investments in line with my license obligations.
- I confirm that the fees have been fully explained to the applicant.
- I agree to receive: transaction confirmations, quarterly and annual statements via the AET My Portfolio facility.
- I acknowledge that by using the facsimile instruction, email service or AET My Portfolio, I indemnify AET from any loss or liability that arises from AET not receiving my facsimile or electronic request.
- I acknowledge that there is a risk that fax or electronic requests do not arrive at their intended destination from time to time and that AET is not responsible in such instances.
- I acknowledge that AET will take action based on any electronic instruction they receive that is in accordance with the 'Buying and selling investments' in the AET PMS Investment Brochure.
- I consent to provide AET access to all proof of identification records for the purposes of the application if requested (pursuant to the AML/CTF legislation Part 7.2).
- I confirm that I have conducted the relevant customer identification procedure in line with the obligations under the AML/CTF legislation, and:

I have attached original certified copies of the applicant's identification document(s) with this Application;

Please note: Compulsory where:

- initial contribution is equal to or more than \$2 million or
- the applicant is a Politically Exposed Person or
- the applicant is not residing in Australia

OR

I have completed and signed an FPA/FSC identification form which is attached to this Application (and retained an original certified copy of the applicant's identification document(s));

OR

I have sighted and retained the original certified copies of the applicant's identification documents recorded in the following Record of proof of identity table. (Please complete the following table and declaration.)

Proof of identity

Record of proof of identity (ID)^	ID document 1	ID document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document type		
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

[^] For further information on the types of proof of identity documents which can be attached or verified and retained, please refer to the proof of identity requirements section at the end of this application form. It also includes a list of persons authorised to certify copies of original documents.

Financial adviser's signature



Date

/
 /

Financial adviser/licensee stamp

Section 10: Service authority declaration

Applicant(s) declaration and signature

I have read and understood the investor brochure and PMS Profile.

I/We hereby:

- declare that the information in this form is true and correct
- confirm I/we have received, read and understood a current product disclosure statement (except where not required) in regard to each managed investment that I/we have selected
- acknowledge that AET and/or my financial adviser has provided me/us with the Product Disclosure Statement(s) for the managed investment schemes that I/we have selected via AET My Portfolio and I/we agree to receive these Product Disclosure Statement(s) by obtaining them from AET My Portfolio
- acknowledge that investments made are subject to investment risk, including possible delays in repayment and loss of income and capital invested
- acknowledge that neither the repayment of capital nor investment performance of the investments are guaranteed by AET or its related bodies corporate
- acknowledge that the availability of investments through the PMS service should not be taken as the giving of financial product or investment advice by AET and AET is not aware of my/our investment objectives, financial situation or particular needs
- acknowledge that by using the PMS service or AET My Portfolio, I/we indemnify and hold harmless AET for any loss or liability that arises from AET not receiving a request submitted through the system, or acting on an instruction bearing my/our account number, my/our signature or that of an authorised signatory on the account
- appoint AET of 44 Pirie St, Adelaide SA 5000 to collect interest, dividends and other distributions and authorise AET to accept and act upon the investment instructions attached to this form and those subsequently provided by my/our adviser and to hold all policy documents, investment certificates, share scrip and investment applications relating to my/our investments
- acknowledge that by using the facsimile instruction, email service or AET My Portfolio, I/we indemnify AET from any loss or liability that arises from AET not receiving my facsimile or electronic request
- acknowledge that I/we will promptly advise my/our financial adviser and/or AET if the information stated in this form changes at any time.

Privacy

Information (including my/our personal information) provided to AET is primarily used for the purpose of opening an investment account and for other related purposes. For the purpose of providing me/us with the products or services I/we have requested, AET may disclose my/our personal information to its related bodies corporate, my/our financial adviser, professional advisers, businesses that have referred me/us to AET, banks and other financial institutions, or to provide me/us with information about other products or services that may be of interest to me/us.

AET is required to collect my/our personal information under the *Corporations Act 2001* and the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*. If I/we do not provide all of the requested information, AET may not be able to action my/our request. To verify my/our identity for Know Your Customer (KYC) purposes, AET may also solicit personal information about me/us from reliable identity verification service providers. My/Our personal information will be handled in accordance with the AET Privacy Policy, which contains information about how I/we may access or correct my/our personal information and how I/we may complain about a breach of my/our privacy. I/We may request a copy of the Privacy Policy by contacting AET on 1800 254 180 or at aetlimited.com.au/privacy.

Australian TFN

- I/We authorise the use of my/our Australian TFN information provided on the application form in respect of my/our account.

Foreign residents (including US citizens or residents) investor reporting requirements

- I/We am/are aware that under FATCA and CRS legislation my/our information will be reported to the tax authority within Australia and internationally if I am/we are a foreign resident or a US citizen or resident.

Proof of identity

- I/We am/are aware that AET are required to carry out proof of identity procedures upon opening an account. These requirements arise under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act). Where I/we have not already provided AET with appropriate identification, AET will be required to collect and verify customer identification information when I/we request a withdrawal or at other times. If I/we do not provide the information or if AET is unable to verify the information, payment may be delayed or refused.

Financial adviser

- I/We hereby authorise my/our current or any future financial adviser and their respective staff (my/our financial adviser), as my/our agent, to operate my/our account and to give any instructions on my/our behalf in relation to my/our account to AET by any method acceptable to it as set out in the investor brochure.
- I/We release and indemnify AET and any member of the IOOF group from and against all demands, actions, proceedings, claims, losses, liabilities and costs arising directly or indirectly out of or in connection with AET acting or omitting to act on instructions given by my/our financial adviser under this authority.

- I/We authorise AET to continue to follow instructions given under this authority until AET receives notice in writing signed by me/us to cancel the authority.

Marketing material

- If you do not agree to AET or any related body corporate within the IOOF group using your personal information for the purposes of marketing the products and services of the IOOF group from time to time, please tick this box

Signature investor 1/trustee/director

Date

 / /

Signature investor 2/trustee/director

Date

 / /

Proof of identity requirements

AML/CTF law obligates AET to verify the identity of each applicant before providing financial services to them.

To meet these requirements as an individual or joint investor you must provide either a certified copy of A or B as below:

EITHER A

ONE of the following documents:

- a current driver's license issued under State/Territory law (or a foreign equivalent) containing a photograph. Please copy front and back of the license
- an Australian passport (where expired within the proceeding 2 years this is acceptable)
- a Foreign passport or an international travel document issued by a foreign government, the United Nations (UN) or an agency of the UN, containing a photograph and signature of the person whose name the document is issued
- a card issued under Australian State or Territory Law for the purpose of providing a person's age containing a photograph
- National Identity card issued by a foreign government, the United Nations (UN) or an agency of the UN, containing a photograph or signature of the person whose name the card is issued.

OR B

ONE of the following documents:

- birth certificate or birth extract issued under Australian State/Territory
- birth certificate issued by a Foreign government, the United Nations (UN) or an agency of the UN
- citizenship certificate issued by the Commonwealth
- citizenship certificate issued by a foreign government
- a concession (health or pension) card issued by the Department of Human Services or Centrelink.

AND

ONE of the following documents:

- a notice issued by Commonwealth, State or Territory government within the past 12 months that contains your name and residential address such as Tax Office Notice of Assessment or a letter from Centrelink regarding an assistance payment
- a notice issued by a local government body or utilities provider within the past 3 months that contains your name and residential address (such as a rates notice from local council or an electricity/gas bill).

Have you changed your name or are you signing on behalf of another person?

If you have changed your name or are signing on behalf of the applicant, you will need to provide a certified linking document. A linking document is a document that proves a relationship exists between two (or more) names.

The following table contains information about suitable linking documents.

Purpose	Suitable linking documents
Change of name	Marriage certificate, deed poll or change of name certificate from the Births, Deaths and Marriages Registration office
Signed on behalf of the applicant	Guardianship papers or power of attorney

Certification of personal documents

All copied pages of ORIGINAL proof of identification documents (including any linking documents) need to be certified as true copies by any individual approved to do so (see below).

The person who is authorised to certify documents must sight the original and the copy and make sure both documents are identical, then make sure all pages have been certified as true copies by writing or stamping 'this is a true copy of the original document sighted by me' followed by their signature, printed name, qualification (such as Justice of the Peace, Australia Post employee) and date.

The following persons can certify copies of the originals as true and correct copies:

- Chiropractor
- Dentist
- Legal practitioner
- Medical practitioner
- Nurse
- Optometrist
- Patent attorney
- Pharmacist
- Physiotherapist
- Psychologist
- Trade marks attorney
- Veterinary surgeon

Other persons:

- Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public
- Australian Consular Officer or Australia Diplomatic Officer (within the meaning of the *Consular Fee Act 1955*)
- Bailiff
- Bank officer with two or more continuous years of service
- Building society officer with two or more years of continuous service
- Chief executive officer of a Commonwealth court
- Clerk of a court
- Commissioner for Affidavits
- Commissioner for Declarations
- Credit union officer with two or more years of continuous service
- Employee of the Australian Trade Commission who is:
 - in a country or place outside Australia; and
 - authorised under paragraph 3(c) of the *Consular Fees Act 1955*; and
 - exercising his or her function in that place
- Employee of the Commonwealth who is:
 - in a country or place outside Australia; and
 - authorised under paragraph 3(d) of the *Consular Fees Act 1955*; and
 - exercising his or her function in that place
- Fellow of the National Tax Accountants' Association
- Finance company officer with two or more years of continuous service
- Holder of a statutory office not specified in another item in this list

- Judge of a court
- Justice of the Peace
- Magistrate
- Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the *Marriage Act 1961*
- Master of a court
- Member of Chartered Secretaries Australia
- Member of Engineers Australia, other than at the grade of student
- Member of the Association of Taxation and Management Accountants
- Member of the Australian Defence Force who is either:
 - an officer; or
 - a non-commissioned officer within the meaning of the *Defence Force Discipline Act 1982* with two or more years of continuous service; or
 - a warrant officer within the meaning of that Act
- Member of Chartered Accountants Australia and New Zealand, the Australian Society of Certified Practising Accountants or the National Institute of Accountants
- Member of either:
 - the Parliament of the Commonwealth; or
 - the Parliament of a State; or
 - a Territory legislature; or
 - a local government authority of a State or Territory
- Minister of religion registered under Subdivision A of Division 1 of Part IV of the *Marriage Act 1961*
- Notary public
- An officer with, or authorised representative of, a holder of an Australian financial services licence, having two or more years of continuous service with one or more licences
- Permanent employee of the Australian Postal Corporation with two or more years of continuous service who is employed in an office supplying postal services to the public
- Permanent employee of:
 - the Commonwealth or a Commonwealth authority; or
 - a State or Territory or a State or Territory authority; or
 - a local government authority;
 with two or more years of continuous service who is not specified in another item in this list
- Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made
- Police officer
- Registrar, or Deputy Registrar, of a court
- Senior Executive Service employee of either:
 - the Commonwealth or a Commonwealth authority; or
 - a State or Territory or a State or Territory authority
- Sheriff
- Sheriff's officer
- Teacher employed on a full-time basis at a school or tertiary education institution
- Member of the Australasian Institute of Mining and Metallurgy.

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Section 5: Adviser authority

Please select (✓) if you wish to appoint an adviser who will have all the powers you have in relation to your portfolio.

I/We hereby appoint the adviser nominated below to exercise all the powers I/we have in respect of my/our portfolio, including the ability to make deposits and withdrawals (excluding online withdrawals), change income distribution instructions and make investment selections. I/We hereby authorise AET to act on such instructions until I/we notify AET in writing otherwise.

Withdrawal instructions only to be authorised to nominated bank account at section 4.

Financial adviser details

If details have changed please complete the details below

Licensee name [grid] Adviser code [grid]

Financial adviser's name [grid]

Street address [grid]

Suburb [grid] State [grid] Postcode [grid]

Telephone [grid] Facsimile [grid]

Email address [grid]

Financial adviser signature [grid with X]

Date [grid] / [grid] / [grid]

Financial adviser/licensee stamp [grid]

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