# Portfolio Application & Agreement



V202501

#### How to Use This Form

This Form should be used to establish a PlatformplusWRAP individual or joint Portfolio.

All fields are mandatory unless otherwise indicated by a ^.

The Portfolio types include select one (1) only:

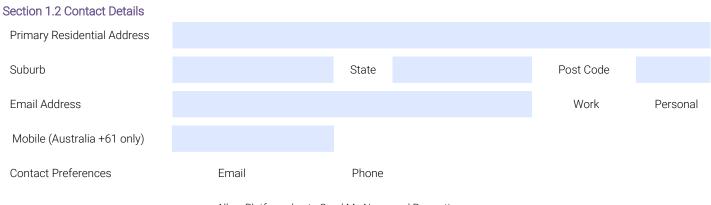
Individual

Joint

If establishing more than one (1) Portfolio, please complete and submit separate Forms.

#### Section 1: Portfolio Holder/s Details Portfolio Holder 1 Section 1.1 Personal Details Title Surname Given Names Gender Male Female Χ Prefer not to say Date Of Birth Town of Birth<sup>^</sup> Country Of Birth Marital Status<sup>^</sup> Unknown Separated Married/Civil Partnership Divorced Widowed Single Partner Client Type<sup>^</sup> Non-contactable Staff Role Type Individual/Joint Account Holder Power of Attorney Read-Write Account Access Read-Only No Access

Read-write means the customer can transact on any Non-advised account opened, as well as edit some portfolio properties such as bank account details.



Allow Platformplus to Send Me News and Promotions



Section 1.3 Regulatory Details					
Primary country of Tax Residency	У	Primary Coun	atry of Citizenship		
Tax Identifier (Tax File Number in Australia)					
Why do I need to provide my TFN? In non-individual investors i.e. entities) plus the Medicare Levy or any other	, or alternatively provide exem				
Are you Exempt from Paying GST?				Yes	No
Exempt or unable to provide Tax Identifier?	Yes, please se	lect the reason:			No
	Disclosure	e of tax payer identification	n number not required		
	Unable to	provide the tax payer iden	tification number at this ti	me	
	Country d	oes not issue tax payer ide	entification numbers		
	Other, ple	ase specify			
Are You a Sophisticated Investor	·	add speemy			
If No skip to Section 1.4	:			Yes	No
If yes, the Accountant's Certificate	effective date				
Please provide a copy of the Acco	unting Certificate when sub	mitting this Form.			
Portfolio Holder 2					
Section 1.4 Personal Details					
Title		Surname			
Given Names					
Gender	Male	Female	X	Pre	fer not to say
Date Of Birth		Town of Birth <sup>^</sup>	Country O	of Birth	
Marital Status <sup>^</sup>	Unknown	Separated	Married/Ci	vil Partnership	
	Divorced	Widowed	Single		Partner
Client Type <sup>^</sup>	Non-contactable	Staff			
Role Type	Individual/Joint Ac	count Holder	Power of A	Attorney	

Read-write means the customer can transact on any Non-advised account opened, as well as edit some portfolio properties such as bank account details.

Read-Only

Read-Write

Account Access

No Access

Section 1.5 Contact Details					
Primary Residential Address					
Suburb		State		Post Code	
Email Address				Work	Personal
Mobile (Australia +61 only)					
Contact Preferences	Email	Phone			
	Allow Platformplus to Se	end Me News and Pro	motions		
Section 1.6 Regulatory Details					
Primary country of Tax Residency		Primary Cou	ntry of Citizenship		
Tax Identifier (Tax File Number in Australia)					
Why do I need to provide my TFN? It non-individual investors i.e. entities), plus the Medicare Levy or any other a	or alternatively provide exemption				
Are you Exempt from Paying GST?				Yes	No
Exempt or unable to provide Tax Identifier?	Yes, please select t	he reason:			No
	Disclosure of t	ax payer identificatio	on number not require	ed	
	Unable to prov	ride the tax payer ide	ntification number at	this time	
	Country does r	not issue tax payer ic	lentification numbers	3	
	Other, please s	specify			
Are You a Sophisticated Investor?  If No skip to Section 2				Yes	No
If yes, the Accountant's Certificate e	iffective date				
Please provide a copy of the Accou		ing this Form.			
Section 2: Portfolio Deta	ils				
Section 2.1 Portfolio Details					
Name of Portfolio					
Number of Signatories Needed	No Authorisation	Severa	illy	Jointly	
Menu Selection	Core	Select			
Choose between Core (limited invest	ment options) and Select (all inve	stment options)			

PlatformplusWRAP ABN 46 103 551 533



Will the investments within this por	tfolio form all or part of a	diversified	d portfolio of investments?	Yes	No
A diversified portfolio of investment investment is limited.	s spreads investments ac	ross multi	iple asset classes and investments so that ex	oosure to any o	ne asset class or
Diversification can consider investments and/or investments in Manag			nclude investments in 5 or more different sec	urities, investme	ents in diversified
Household Details	New	Name			
	Existing	Name		Number	
Tax Parcel Method	Minimise Gains		FIFO	Maximise	e Gains
Section 2.2 Add Bank Accounts					
Bank Account 1					
Account Name					
Bank/Sort/Branch Code (BSB)		Acc	ount Number		
Use Account for Withdrawals?				Yes	No
Use Account for Direct Debits?				Yes	No
Bank Account 2					
Account Name					
Bank/Sort/Branch Code (BSB)		Acc	ount Number		
Use Account for Withdrawals?				Yes	No
Use Account for Direct Debits?				Yes	No
To add more than two (2) bank acco	ounts, please provide a co	py of Sect	ion 2 when returning this Form.		
Section 3: Investments					
Section 3.1 Account Details					
Name of Account					
Choose a Minimum Cash Prefere Platformplus will reserve the lowe		e entered	below.		
Cash Percentage Minimum Cash percentage minimum must be	a valid number between	1.00 and 1	00.00		%
Cash Amount Minimum Cash amount minimum must be a v	alid number no less than	\$2000.00			\$



#### DIVIDENDE & DISTRIBUTIONS

A dividend is income from a security, and a distribution is income from a managed fund. Some issuers offer distribution or dividend reinvestment plans (DRPs) which allows investors to reinvest cash dividends or distributions to buy additional shares or units.

Where a DRP is offered for securities or managed funds, would you like to opt in?

Yes

No

Where a DRP is not offered?

This option applies to distributions from managed funds only.

Retain as Cash

Reinvest

Section 3.2 Link a Model Portfolio

Would you like to link this account to a model portfolio?

Yes

No

If NO, skip to Section 3.3

Model Portfolio Name

Automatic Rebalance?

Yes

No

If NO, skip to Section 3.3

To enable the ability to setup the automatic rebalancing of your Model Portfolio at specific frequencies. If not selected, you can manually rebalance your Model Portfolio on demand via the Manual rebalance feature.

Frequency (Daily, Weekly, Fortnightly, Monthly, Quarterly, Half-yearly, Annually)

The period of time between automatic rebalances. The day the automatic rebalance would be executed is derived from the commencement date selected. Example: If you select a Quarterly frequency and your commencement date is the 5th of July, Quarterly rebalances would occur on the 5th day of October, January, April, and July.

Commencement Date

The date you wish to execute your first automatic rebalance. This date will also be used to derive the next occurrence of the Portfolio rebalance based on the frequency selected.

Minimum Order Value

\$

The minimum order amount used when rebalancing your Portfolio based on the allocations defined. If the rebalance engine determines that an order required to align your assets to the target allocations falls below the minimum order amount, that order will be filtered out.

Rebalance Type

If 'At Target' is selected, then orders will be created to align to the target allocations defined for the Model. If 'Align to Target' is selected, then any excess cash will be used to buy into assets based on the target allocations defined for the Model.

At Target

Align to Target

Section 3.3 Invest Excess Cash

Use excess cash to automatically purchase investments?

Yes

No

If NO, skip to Section 3.4

Minimum buy amount

Excess cash will not be invested if the allocated trades do not meet the specified minimum amount for each investment to be purchased.

\$

# Select Investments

Any amount not allocated to investments will be held as cash. Minimum cash reserve requirements must be met before orders are generated for the selected allocations.

# PLATFORM+ WR∧P

Inves	tment Name		Inves	stment Code	Al	ocation (%)
						%
						%
						%
						%
				CASH		%
				Total		100%
If you have more Accounts, please pro	ovide a copy of Section 3 wh	nen returning this forr	m.			
Add One Off Deposit?					Yes	s No
Payment Amount		Bank Account (Se	ction 2.2)	Bank Accou	nt 1	Bank Account 2
Add Regular Deposit?					Yes	s No
Payment Amount		Bank Account (Se	ction 2.2)	Bank Accou	nt 1	Bank Account 2
Start Date Must be a future date		Final Date <sup>^</sup>				
Frequency Fortnightly, Monthly, Quarterly or						
Yearly Section 3.5 Adviser Fees						
Are there any adviser fees applicab	le to this account?				Yes	No
If NO, skip to Section 3.6 Fee Arrangement Type You can only select either Ongoing or	Fixed-Term.					
Ongoing Fee Arrangement						
Reference Date (DD/MM)						
The Reference Date is defined in the C	Corporations Act 2001. It is	for determining the re	enewal perio	d and cessation of co	nsent: see s	ection 962H.
Is this account funded with borrowed When borrowed funds are used to fun		r fees can be charged	d.		Yes	No
Adviser Fee Type You can only choose one (1) fee type.					%	Flat \$
Flat dollar (\$) Annual Amount		\$	Charge Fred	quency		
			Monthly, C	Quarterly, Half-yearly c	or Annually	
			Tier			Percentage inc GST

PlatformplusWRAP ABN 46 103 551 533



Percentage Based (%)	\$	То	\$	%
	\$	То	\$	%
	\$	То	\$	%
	\$	То	\$	%
Estimated Account Balance			\$	
The Estimated Account Balance is an estin that will be charged to the member for the pay from your Account will depend of the c	twelve months up until the next Ref	erence Date. If you consent, th	he actual amount that you will	
Charge Frequency Monthly, Quarterly,	Half-yearly or Annually			
Service/s Provided				
Statement/Record of Advice Date				
Service/s provided: Please select all those relevant. The Li	icensee will provide financial advice	and the following services, as	documented in your Statement of Adv	vice / Record of Advice.
Review of your account		Contribution strategy	Investment port	folio management
Estate planning				
		Retirement planning	Protection strate	egy
Withdrawals/Benefit paym	nents	Retirement planning Other (please specify):	Protection strate	egy
By signing this Form, I/We acknow Infocus Securities Austra Account. If you are not h You may vary or withdra Ltd in writing at the conta Your consent expires 156 consent annually so that	vledge that: alia Pty Ltd is required by law appy with the amount descril w your consent to any future act details below, or by subm 0 days from the Reference Da	Other (please specify):  to obtain your consent loed, you do not have to padvice fee deductions a litting an on-platform recate above. Infocus Secures from your Account in	pefore the advice fees can be dorovide consent. t any time by notifying Infocus quest to withdraw your advice frities Australia Pty Ltd will be rein return for services. If we do r	educted from your Securities Australia Pty ee consent. quired to ask for your
By signing this Form, I/We acknow Infocus Securities Austra Account. If you are not h You may vary or withdra Ltd in writing at the conta Your consent expires 150 consent annually so that consent by this date, we  Fixed-Term Fee Arrangement	vledge that: alia Pty Ltd is required by law appy with the amount descril w your consent to any future act details below, or by subm 0 days from the Reference Da we can continue deducting f will automatically cease ded	Other (please specify):  to obtain your consent loed, you do not have to padvice fee deductions a litting an on-platform recate above. Infocus Secures from your Account in	pefore the advice fees can be dorovide consent. t any time by notifying Infocus quest to withdraw your advice frities Australia Pty Ltd will be rein return for services. If we do r	educted from your Securities Australia Pty ee consent. quired to ask for your
By signing this Form, I/We acknow Infocus Securities Austra Account. If you are not h You may vary or withdra Ltd in writing at the conta Your consent expires 150 consent annually so that consent by this date, we	vledge that: alia Pty Ltd is required by law appy with the amount descril w your consent to any future act details below, or by subm 0 days from the Reference Da we can continue deducting f will automatically cease ded	Other (please specify):  to obtain your consent loed, you do not have to padvice fee deductions a litting an on-platform recate above. Infocus Secures from your Account in	pefore the advice fees can be dorovide consent. t any time by notifying Infocus quest to withdraw your advice frities Australia Pty Ltd will be rein return for services. If we do r	educted from your Securities Australia Pty ee consent. quired to ask for your

Charge Frequency
Monthly, Quarterly, Half-yearly or Annually

Tier

Percentage p.a. inc GST

No

Flat \$

PlatformplusWRAP ABN 46 103 551 533

inc GST

Yes

%

Adviser Fee Type
You can only choose one (1) fee type.

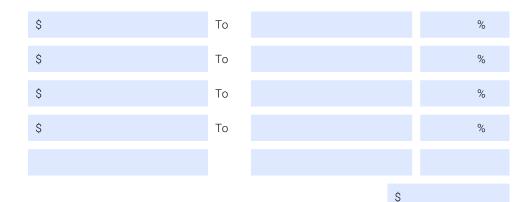
Flat dollar (\$) Amount Per Frequency

When borrowed funds are used to fund an account, only \$ adviser fees can be charged.

\$



Percentage Based (%)



#### Estimated Account Balance

The Estimated Account Balance is an estimate of a member's account balance which is used to calculate a reasonable estimate of the fees that will be charged to the member for the twelve months up until the End Day. If you consent, the actual amount that you will pay from your Account will depend of the date your consent is received, rounding and the value of your account during the period.

Charge Frequency Monthly, Quarterly, Half-yearly or Annually

By signing this Form, I/We acknowledge that:

- Infocus Securities Australia Pty Ltd is required by law to obtain your consent before the advice fees can be deducted from your Account. If you are not happy with the amount described, you do not have to provide consent.
- You may vary or withdraw your consent to any future advice fee deductions at any time by notifying Infocus Securities Australia Pty Ltd in writing at the contact details above, or by submitting an on-platform request to withdraw your advice fee consent.
- Your consent expires on the End Date above. Infocus Securities Australia Pty Ltd will be required to ask for your consent annually
  so that we can continue deducting fees from your Account in return for services. If we do not receive your consent by this date, we
  will automatically cease deducting fees from your Account.

# Section 3.6 One-Off Adviser Fee

Would you like to charge a one-off fee as part of account onboarding?

Yes

No

If NO, skip to Section 4.

Fee Amount (including GST)

Statement of Advice/Record of Advice Date

By signing this Form, I/We acknowledge that:

- You will pay the following one-off advice fee from your Account.
- Infocus Securities Australia Pty Ltd is required by law to obtain your written consent before the fee for financial advice can be deducted from your account and paid to Infocus Securities Australia Pty Ltd. If you are not happy with the amount or the services described, you do not have to consent.
- Your consent expires once the amount is deducted from your Account. This means Infocus Securities Australia Pty Ltd will have to ask for your consent again if they want to deduct fees from your Account for further advice provided by Infocus Securities Australia Pty Ltd in the future.
- You may withdraw your consent to the deduction of the one off advice fee from your account by notifying your adviser at the contact details below
- A withdrawal of consent must occur before the amount has been deducted from your Account. The advice fee amount will be
  deducted once consent is received and when there is sufficient available cash to fund the payment.



# Section 4: Transfers<sup>^</sup>

Please review and sign the Transfer Form and attach a copy when returning this Form.

## Tax Parcel History

The information needed to complete tax parcel forms should be available from the Unrealised Capital Gains report obtained from your current wrap provider, IDPS operator, fund manager, financial or tax adviser. It is imperative that the tax parcel history that you provide, is both accurate and complete, as the tax reporting you receive through Platformplus Platform will only be based on the information provided.

If the tax parcel information of the assets being transferred is not known at the time of initiating a transfer, please leave the parcel information empty. You will be able to provide the details at a later stage. However, until that information has been provided, you will not be able to sell those assets through your Platformplus Account. If you have tax parcels to enter, please ensure the information is accurate as you will not have the ability to amend these details once the transfer is complete. Please contact the Contact Centre on 1300 168 905 should you have any questions.

# **Section 5: Adviser Declaration**

By signing this Form, I declare that:

- the applicant(s) has been provided with all relevant offer documents for the platform, which includes information regarding investment strategy, fees and risks.
- the information entered is true and correct.
- I have provided my client(s) with a copy of the Terms and Conditions for the platform.
- I have completed an identity verification procedure in accordance with the AML/CTF Act and Rules, in the capacity of an AFSL holder or their authorised representative and the tax information provided is reasonable considering the documentation provided.
- the AML/CTF verification documentation is retained and available upon future request if required by the Trustee/Responsible Entity.
- the client has completed CRS/FATCA self certification documentation which I have reviewed for reasonableness and is retained and available upon future request if required by the Operator/Trustee/Responsible Entity
- where advice fees have been entered:
  - the fees to be paid by the client meet the sole purpose test (superannuation accounts only).
  - the Trustee/Operator has discretion to reject the payment of advice fees.
  - the fees are reasonable for the proposed services.
  - any estimates provided are reasonable estimates.
  - the Reference Date, if listed, is accurate.

I acknowledge that where advice fees have been entered:

- the fees will not be calculated nor deducted prior to the date of consent.
- the fees reflect a fee arrangement that has been agreed with the applicant(s). To the extent of any inconsistency, the details provided in this application will prevail.
- the fixed fees deducted at regular frequencies may result in rounding discrepancies when compared to annual calculations.

Full Name (print)	
AFS Licensee	Infocus Securities Australia Pty Ltd AFSL No. 236523
Adviser Phone Number	
Adviser Email	
Signature	
Date	



# **Section 6: Client Declaration**

#### Terms of Service

Before you can access your new profile or account(s), you must access, read and ensure you understand the documents listed below. They contain important information about your profile or account(s), the products and services you may access and how your personal information will be handled. You should also save a copy for future reference.

#### Documents I/We need to access, read and understand

- PlatformplusWRAP Product Disclosure Statement (PDS)
- Platformplus Financial Services Guide (FSG)
- PlatformplusWRAP Privacy Policy
- Direct Debit Service Agreement (if applicable)

#### By signing this Form, I/We declare that:

- You are the Account Holder of a PlatformplusWRAP Account (Account), or are authorised to make the following declarations on behalf of the Account Holder;
- You have accessed, read, understand and agree to the Important Documents listed above;
- The information listed is true and correct;
- You consent to receiving electronic communications, including via your PlatformplusWRAP profile, Account or by emails;
- You understand that you can opt out of receiving marketing materials in relation to your Account by updating your communication preference online via your PlatformplusWRAP profile at any time; and
- By opening an Account through PlatformplusWRAP:
  - You are entering into an agreement with PlatformplusWRAP, which is based upon the terms and conditions outlined in the above Important Documents; and
  - You acknowledge and understand that:
    - Investing through PlatformplusWRAP is not the same as holding investments directly (as described in the PlatformplusWRAP PDS); and
    - You do not have access to some of the rights and entitlements that would otherwise be available to you
      as a retail investor) who directly invests in a financial product, managed account, or other asset or
      investment available for acquisition through PlatformplusWRAP; and
    - You do not have the same rights as direct retail investors and you may not have access to cooling-off
      rights, withdrawal rights and voting rights in respect of an investment held through the
      PlatformplusWRAP.

## Direct Debit Authorisation (if applicable)

If I/We have included a Direct Debit Option above (Section 3.4) I/We do:

- Request and authorise to debit the account named above to pay FNZ Custodians (Australia) Pty Limited as Custodian for Equity Trustees Ltd as Responsible Entity for PlatformplusWRAP (Platformplus).
- Request and authorise PlatformplusWRAP (Platformplus), ABN 46 103 551533 & FNZ Custodians (Australia) Pty Limited to
  arrange, through its own financial institution, a debit to your nominated account any amount Platformplus has deemed payable
  by you.
- This debit or charge will be made through the Bulk Electronic Clearing System (BECS) from your account held at the financial
  institution you have nominated below and will be subject to the terms and conditions of the Direct Debit Request Service
- Understand and agree to the Direct Debit Service Agreement.

#### Adviser Remuneration Details (if applicable)

If I/We have included an Adviser Fee (Section 3.5) or One-Off Fee (Section 3.6), I/We do:

- understand the information provided above;
- understand that my Financial Adviser is an Authorised Representative of the AFS Licensee, payment will be made to that AFS Licensee and not the individual adviser;
- request and authorise the advice fee(s) to be deducted from my Account(s) and to paid to my Financial Adviser;
- confirm that I have chosen my Financial Adviser and that the Responsible Entity/Trustee is not responsible for the financial advice services to be provided by my Financial Adviser;
- release the Responsible Entity/Trustee from any claim relating to the financial advice services provided by my Financial Adviser, other than a claim for the Responsible Entity/Trustee to pay the agreed advice fee(s) and to deduct it from my Account(s);
- acknowledge the Responsible Entity/Trustee has discretion to reject or cease deducting advice fees;
- confirm that the advice fee(s) listed in this Form reflect what has been agreed with my Financial Adviser;
- acknowledge that I understand how the advice fee(s) will be applied to my Account; and
- understand that fixed advice fees deducted at regular frequencies may result in rounding discrepancies when compared to annual calculations; and
- declare that the advice fee(s) comply with the sole purpose test. This means that only costs associated with advice that relates to your superannuation and insurance obtained through superannuation may be deducted from your superannuation Account



(superannuation Accounts only).



Full Name (print)			
Signature			
Date			
Portfolio Holder 2 (Joint Portfolio	s only)		
Full Name (print)			
Signature			
Date			

# **How to Return this Form**

Upload to

Portfolio Holder 1

Online Application > Documentation

Equity Trustees Limited ("Equity Trustees") ABN 46 004 031 298 AFSL 240975 is the Responsible Entity for the PlatformplusWRAP, a registered managed investment IDPS-like scheme (the Scheme) of which there may be different classes of member's accounts. Equity Trustees Superannuation Limited ("ETSL") ABN 50 055 641 757 AFSL 229757, RSE L0001458, is the Trustee for the WRAP Super Fund ABN 18 906 079 389 RSE R1078770, of which Platformplus Super Wrap (the Division) USI 18906079389001 is a Division. Both Equity Trustees and ETSL are subsidiaries of EQT Holdings Limited ABN 22 607 797 615, a publicly listed company on the Australian Securities Exchange (ASX: EQT). The Promoter of the Scheme and Fund is Platformplus Pty Ltd ABN 46 103 551 533, a Corporate Authorised Representative of Alpha Investment Management Pty Ltd ABN 13 122 381 908 AFSL 307379. This website has been prepared by Platformplus to provide you with general information only and does not take into account the investment objectives, financial situation or particular needs of any particular person. Neither Platformplus, Alpha, Equity Trustees, ETSL nor any of their related parties, their employees or directors, provide any warranty of accuracy or reliability in relation to such information or accept any liability to any person who relies on it. Past performance should not be taken as an indicator of future performance. You should obtain a copy of the Product Disclosure Statement and Target Market Determination before making a decision about whether to invest in this product. For more information about PlatformplusWRAP, including the Financial Services Guide and disclosure documents, please visit platformpluswrap.com.au.

^ Indicates that the answer to this question is optional.