

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	<input type="text"/>	Surname	<input type="text"/>		
Given Names	<input type="text"/>				
Gender	Male	Female	X	Prefer not to say	
Date Of Birth	<input type="text"/>	Town of Birth [^]	<input type="text"/>	Country Of Birth	<input type="text"/>
Marital Status [^]	Unknown	Separated	Married/Civil Partnership		
	Divorced	Widowed	Single	Partner	
Client Type [^]	Non-contactable	Staff			
Role Type	Individual/Joint Account Holder		Power of Attorney		
Account Access	Read-Write	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.

Section 1.2 Contact Details

Primary Residential Address	<input type="text"/>				
Suburb	<input type="text"/>	State	<input type="text"/>	Post Code	<input type="text"/>
Email Address	<input type="text"/>			Work	Personal
Mobile (Australia +61 only)	<input type="text"/>				
Contact Preferences	Email	Phone			

Allow Platformplus to Send Me News and Promotions

Section 1.3 Regulatory Details

Primary country of Tax Residency Primary Country of Citizenship

Tax Identifier
(Tax File Number in Australia)

Are you Exempt from Paying GST? Yes No

Exempt or unable to provide Tax Identifier? No

Yes, please select the reason:

Disclosure of tax payer identification number not required

Unable to provide the tax payer identification number at this time

Country does not issue tax payer identification numbers

Other, please specify

Are You a Sophisticated Investor? Yes No

If No skip to Section 1.4

If yes, the Accountant's Certificate effective date

Please provide a copy of the Accounting Certificate when submitting this Form.

Portfolio Holder 2

Section 1.4 Personal Details

Title Surname

Given Names

Gender Male Female X Prefer not to say

Date Of Birth Town of Birth[^] Country Of Birth

Marital Status[^] Unknown Separated Married/Civil Partnership

Divorced Widowed Single Partner

Client Type[^] Non-contactable Staff

Role Type Individual/Joint Account Holder Power of Attorney

Account Access Read-Write 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.

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 Send Me News and Promotions

Section 1.6 Regulatory Details

Primary country of Tax Residency Primary Country of Citizenship

Tax Identifier
(Tax File Number in Australia)

Are you Exempt from Paying GST? Yes No

Exempt or unable to provide Tax Identifier? Yes, please select the reason: No

Disclosure of tax payer identification number not required

Unable to provide the tax payer identification number at this time

Country does not issue tax payer identification numbers

Other, please specify

Are You a Sophisticated Investor? Yes No
If No skip to Section 2

If yes, the Accountant's Certificate effective date

Please provide a copy of the Accounting Certificate when submitting this Form.

Section 2: Portfolio Details

Section 2.1 Portfolio Details

Name of Portfolio

Number of Signatories Needed No Authorisation Severally Jointly

Menu Selection Core Select

Choose between Core (limited investment options) and Select (all investment options)

Will the investments within this portfolio form all or part of a diversified portfolio of investments? Yes No

A diversified portfolio of investments spreads investments across multiple asset classes and investments so that exposure to any one asset class or investment is limited.

Diversification can consider investments on and off platform and may include investments in 5 or more different securities, investments in diversified funds and/or investments in Managed Discretionary Accounts.

Household Details New Name

Existing Name Number

Tax Parcel Method Minimise Gains FIFO Maximise Gains

Section 2.2 Add Bank Accounts

Bank Account 1

Account Name

Bank/Sort/Branch Code (BSB) Account Number

Use Account for Withdrawals? Yes No

Use Account for Direct Debits? Yes No

Bank Account 2

Account Name

Bank/Sort/Branch Code (BSB) Account Number

Use Account for Withdrawals? Yes No

Use Account for Direct Debits? Yes No

To add more than two (2) bank accounts, please provide a copy of Section 2 when returning this Form.

Section 3: Investments

Section 3.1 Account Details

Name of Account

Choose a Minimum Cash Preference

Platformplus will reserve the lower of the % or the \$ value entered below.

Cash Percentage Minimum %
Cash percentage minimum must be a valid number between 1.00 and 100.00

Cash Amount Minimum \$
Cash amount minimum must be a valid number no less than \$2000.00

Dividends & 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 Reinvest as Cash

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.

Investment Name	Investment Code	Allocation (%)
<input type="text"/>	<input type="text"/>	<input type="text" value=""/>
<input type="text"/>	<input type="text"/>	<input type="text" value=""/>
<input type="text"/>	<input type="text"/>	<input type="text" value=""/>
<input type="text"/>	<input type="text"/>	<input type="text" value=""/>
	CASH	<input type="text" value=""/>
	Total	100%

If you have more Accounts, please provide a copy of Section 3 when returning this form.

Section 3.4 Direct Debit Options

Add One Off Deposit?

Yes No

Payment Amount

Bank Account (Section 2.2)

Bank Account 1

Bank Account 2

Add Regular Deposit?

Yes No

Payment Amount

Bank Account (Section 2.2)

Bank Account 1

Bank Account 2

Start Date

Must be a future date

Final Date^

Frequency

Fortnightly, Monthly, Quarterly or Yearly

Section 3.5 Adviser Fees

Are there any adviser fees applicable 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

Anniversary Day (DD/MM)

Anniversary Day is defined in the Corporations Act 2001. It is the anniversary of the day on which the ongoing fee arrangement was entered into: see section 962G(3).

Is this account funded with borrowed funds?

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

Yes No

Adviser Fee Type

You can only choose one (1) fee type.

% Flat \$

Flat dollar (\$) Annual Amount

inc GST

\$

Charge Frequency

Monthly, Quarterly, Half-yearly or Annually

		Tier		Percentage <i>inc GST</i>
Percentage Based (%)	\$ <input type="text"/>	To	\$ <input type="text"/>	<input type="text"/> %
	\$ <input type="text"/>	To	\$ <input type="text"/>	<input type="text"/> %
	\$ <input type="text"/>	To	\$ <input type="text"/>	<input type="text"/> %
	\$ <input type="text"/>	To	\$ <input type="text"/>	<input type="text"/> %
	<input type="text"/>		<input type="text"/>	<input type="text"/>

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 next Anniversary Day.

Charge Frequency *Monthly, Quarterly, Half-yearly or Annually*

Fixed Term

Start Day (DD/MM)

Cannot be more than 120 days in the future.

End Day (DD/MM)

Is this account funded with borrowed funds?

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

Yes No

Adviser Fee Type

You can only choose one (1) fee type.

% Flat \$

Flat dollar (\$) Amount Per Frequency

inc GST

\$

Charge Frequency

Monthly, Quarterly, Half-yearly or Annually

		Tier		Percentage p.a. <i>inc GST</i>
Percentage Based (%)	\$ <input type="text"/>	To	<input type="text"/>	<input type="text"/> %
	\$ <input type="text"/>	To	<input type="text"/>	<input type="text"/> %
	\$ <input type="text"/>	To	<input type="text"/>	<input type="text"/> %

\$	To		%

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.

Charge Frequency *Monthly, Quarterly, Half-yearly or Annually*

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

Section 4: Transfers^

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

Section 5: Adviser Declaration

By signing this Form, I declare that:

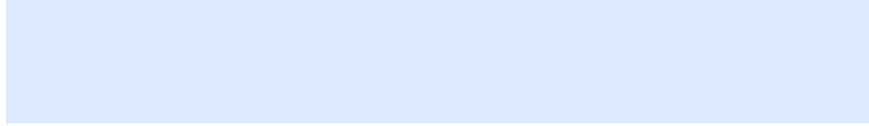
- the applicant(s) has been provided with all relevant offer documents for the platform, which includes information regarding investment strategy, fees and risks.
- the information entered is true and correct.
- I have provided my client(s) with a copy of the Terms and Conditions for the platform.
- 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 Anniversary 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)

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 you 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, you 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;
- Receiving electronic communications, including via your PlatformplusWRAP profile, Account or by emails;
- 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 you have included a Direct Debit Option above (Section 3.4) you 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 Agreement.
- Understand and agree to the Direct Debit Service Agreement.

Adviser Remuneration Details (if applicable)

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

- understand the information provided above;
- understand that where my Financial Adviser is part of an adviser dealer group, payment will be made to that dealer group and not the individual adviser;
- request and authorise the advice fee(s) to be deducted from my Account(s) and to be paid to my Financial Adviser;
- acknowledge that the Responsible Entity/Trustee is not responsible for the financial advice services 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) 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
- for adviser service fees only, I understand that fixed advice fees deducted at regular frequencies may result in rounding discrepancies when compared to annual calculations.

Portfolio Holder 1

Full Name (print)

Signature

Date

Portfolio Holder 2 (Joint Portfolios only)

Full Name (print)

Signature

Date

How to Return this Form

Upload to

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.