

How to Use This Form

This Form should be used to establish a PlatformplusWRAP Self Managed Superannuation Fund (SMSF) Portfolio.

All fields are mandatory unless otherwise indicated by a ^.

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

Section 1: Organisation Details

Section 1.1 Organisation Details

Organisation Name			
Australian Business Number (ABN)		Date of Establishment	
Country of Registration			

Section 1.2 Regulatory Details

Primary country of Tax Residency		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	
	Not specified		Organisation not required to lodge a tax return	
	Consumer Finance Company / Financial Investment Body.			

If you have an additional tax residency to declare, please provide a copy of Section 1.2 when returning this Form.

Section 2: Client Details

Important Information: Please ensure all relevant client details are assigned for AML purposes. This must include any beneficiaries on the portfolio and settlors where their material asset contribution to the trust at the time the trust was greater than or equal to \$10,000.00 AUD.

This Portfolio must have either:

- a) At Least Two Individual Trustees – go to Section 2.1; or
- b) One Corporate Trustee with One Sole Director or Two Directors – go to Section 2.2.

Section 2.1 Two or More Individual Trustees

Client Profile 1

Section 2.1.1 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		

Single

Staff

Trustee – skip to next Section

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.

No

Section 2.1.2 Contact Details

Personal

Phone

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Section 2.1.3 Regulatory Details

No

No

No

If No skip to Section 1.4

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

Client Profile 2

Section 2.1.4 Personal Details

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	
Client Type^	Non-contactable	Staff		
Role Type	Beneficiary	Power of Attorney	Trustee – skip to next Section	
Account Access	Read-Write	Read-Only	No Access	
<i>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.</i>				
Signatory?				Yes No

Section 2.1.5 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 2.1.6 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
	Child under 16	Pensioner (Category 1)	
	Territory Resident	Pensioner (Category 2)	
	Non-Resident		
	Other, please specify		
Are You a Sophisticated Investor?			Yes No
If No skip to Section 1.7			
If yes, the Accountant's Certificate effective date			

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

Client Profile 3

Section 2.1.7 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		
Client Type^	Non-contactable	Staff			
Role Type	Beneficiary	Power of Attorney	Trustee – skip to next Section		
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.

Signatory? Yes No

Section 2.1.8 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 2.1.9 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
	Child under 16	Pensioner (Category 1)	
	Territory Resident	Pensioner (Category 2)	
	Non-Resident		
Other, please specify			

Are you a sophisticated investor:

Yes

No

If No skip to Section 1.10

If yes, the Accountant's Certificate effective date

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

Client Profile 4

Section 2.1.10 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		
Client Type^	Non-contactable	Staff			
Role Type	Beneficiary	Power of Attorney	Trustee – skip to next Section		
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.

Signatory?

Yes

No

Section 2.1.11 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 2.1.12 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
	Child under 16	Pensioner (Category 1)	

Territory Resident

Pensioner (Category 2)

Non-Resident

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.

If there are more than two (2) Trustees, please include a copy of Section 2.1 when returning this Form.

Section 2.2 One Corporate Trustee with One Sole Director or Two Directors

Section 2.2.1 Corporate Trustee Details

Organisation Name			
Australian Business Number (ABN) ^{^^}		Australian Company Number (ACN) ^{^^}	
Date of Establishment		Country of Registration	
Company Is Registered with ASIC?	Yes – skip to next question.	No	
Foreign Registered Body		Foreign Registered Body Number	
Industry Classification	Accounting/Finance/ Broking	Consulting	Government/Military
	Engineering	Professional Services	Research & Development
	Retail & Food and Beverages	Sales/Marketing/ Advertising	Moneylenders/Pawn Services
	Charities	Corporate Trustee	
	Other, please specify:		

^{^^}Either ABN or ACN is required.

Section 2.2.2 Contact Details

Primary Residential Address					
Suburb		State		Post Code	
Email Address				Work	Personal
Mobile (Australia +61)					
Contact Preferences	Email	Phone			

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Section 2.2.3 Regulatory Details

Primary country of Tax Residency	<input type="text"/>	Tax Identifier (Tax File Number in Australia)	<input type="text"/>
Are you Exempt from Paying GST?			Yes No
Exempt or unable to provide Tax Identifier?	Yes, please select the reason:		No
	Child under 16	Organisation not required to lodge a tax return	
	Consumer Finance Company / Financial Investment Body.		
Common Reporting Standard (CRS) Tax Classification	Financial Institution (other than an investment entity in a non-participating jurisdiction) <i>Based on the CRS Tax Classification selected, the organisation is considered a CRS Exempted Entity.</i> Investment entity (in a non-participating jurisdiction) <i>Based on the CRS Tax Classification selected, the organisation is not considered a CRS Exempted Entity and CRS due diligence and reporting will be determined from information collected for any controlling persons.</i> Australian registered charity <i>Based on the CRS Tax Classification selected, the organisation is considered a CRS Exempted Entity</i> Active NFE <i>Based on the CRS Tax Classification selected, the organisation is not considered a CRS Exempted Entity and CRS due diligence and reporting will be determined from information collected for any controlling persons.</i> Other (passive NFE) <i>Based on the CRS Tax Classification selected, the organisation is not considered a CRS Exempted Entity and CRS due diligence and reporting will be determined from information collected for any controlling persons.</i>		

If you have an additional tax residency to declare, please provide a copy of Section 2.2.3 when returning this Form.

Client Profile 1

Section 2.2.4 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
Role Type	Beneficiary	Power of Attorney	Trustee – skip to next Section	
Client Type^	VIP	Non-contactable	Staff	
Account Access	Read-Write	Read-Only	No Access	
<i>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.</i>				
Signatory?	Yes	No		

Section 2.2.5 Contact Details

Primary Residential Address	<input type="text"/>
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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 2.2.6 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
	Child under 16	Pensioner (Category 1)	
	Territory Resident	Pensioner (Category 2)	
	Non-Resident		
	Other, please specify		
Are You a Sophisticated Investor?			Yes No

If No skip to Section 2.7

If yes, the Accountant's Certificate effective date

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

Client Profile 2

Section 2.2.7 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	
Role Type	Beneficiary	Power of Attorney	Trustee – skip to next Section		
Client Type^	VIP	Non-contactable	Staff		
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.

Signatory? Yes No

Section 2.2..8 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 2.2.9 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
	Child under 16		Pensioner (Category 1)
	Territory Resident		Pensioner (Category 2)
	Non-Resident		
	Other, please specify		
Are You a Sophisticated Investor?			Yes No

If No skip to Section 2.10

If yes, the Accountant's Certificate effective date

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

Client Profile 3

Section 2.2..10 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
Role Type	Beneficiary	Power of Attorney	Trustee – skip to next Section	
Client Type^	VIP	Non-contactable	Staff	
Account Access	Read-Write	Read-Only	No Access	
<i>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.</i>				
Signatory?	Yes	No		

Section 2.2..11 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 2.2.12 Regulatory Details

Primary country of Tax Residency		Primary Country of Citizenship		
Tax Identifier <small>(Tax File Number in Australia)</small>				
Are you Exempt from Paying GST?				Yes No
Exempt or unable to provide Tax Identifier?	Yes, please select the reason:			No
	Child under 16	Pensioner (Category 1)		
	Territory Resident	Pensioner (Category 2)		
	Non-Resident			
	Other, please specify			
Are You a Sophisticated Investor?				Yes No
If No skip to Section 2.13				
If yes, the Accountant's Certificate effective date				

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

Client Profile 4

Section 2.2..13 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
Role Type	Beneficiary	Power of Attorney	Trustee – skip to next Section	
Client Type^	VIP	Non-contactable	Staff	
Account Access	Read-Write	Read-Only	No Access	
<i>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.</i>				
Signatory?	Yes	No		

Section 2.2.14 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 2.2.15 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
	Child under 16	Pensioner (Category 1)	
	Territory Resident	Pensioner (Category 2)	
	Non-Resident		
	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 3: Portfolio Details

Section 3.1 Portfolio Details

Name of Portfolio			
Number of Signatories Needed	No Authorisation	Severally	Jointly
SMSF Provider	Class		
	Fund Code		
	Business Code		
	Class Token		
	Would you like to enable an account-level feed to Class Super?	Yes	No
	None – skip to next question.		
Menu Selection	Core	Select	

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 Number

Section 3.2 Add Bank Accounts

Account Name			
Bank/Sort/Branch Code (BSB)		Account Number	
Nominate Account for Withdrawals?		Yes	No
Use Account for Direct Debits?		Yes	No
Tax Parcel Method	Minimise Gains	FIFO	Maximise Gains

If more than one (1) bank account is required, please provide a copy of Section 3.2 when returning this Form.

Section 4: Investments

Section 4.1 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 4.2 Link a Model Portfolio

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

Yes

No

If NO, skip to Section 4.3

Model Portfolio Name

Automatic Rebalance?

Yes

No

If NO, skip to Section 4.3

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 4.3 Invest Excess Cash

Use excess cash to automatically purchase investments?

Yes

No

If NO, skip to Section 4.4

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 (%)

%

		%
		%
		%
	CASH	%
	Total	100%

If you have more than one (1) Account, please provide a copy of Section 4 when returning this Form.

Section 4.4 Adviser Fees

Are there any adviser fees applicable to this account? Yes No

If NO, skip to Section 5.

Fee arrangement Type
You can only choose one (1).

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).

Fixed Term

Start Day (DD/MM)

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 fee type..

%

Flat \$

Flat dollar (\$) Annual Amount
inc GST

\$

Charge Frequency

Charge Frequency Monthly, Quarterly, Half-yearly or Annually

		Tier		Percentage inc GST
Percentage Based (%)	\$	To	\$	%
	\$	To	\$	%
	\$	To	\$	%
	\$	To	\$	%

Estimated Account Balance (% based only)

\$

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

Charge Frequency Monthly, Quarterly, Half-yearly or Annually

Section 5: Transfers^

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

Section 6: Documentation

Please ensure that a copy of the Trust Deed is provided when returning this Form.

Section 7: 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.
- An individual identity verification procedure has been completed for any Beneficial Owners/Controllers (where applicable).
- The AML/CTF verification documentation is retained and available upon future request if required by the 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 8: 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

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.

Signatory 1

Full Name (print)

Signature

Date

Signatory 2

Full Name (print)

Signature

Date

How to Return this Form

Upload to

Online Application > Documentation

AND Email to

support@platformpluswrap.com.au

Equity Trustees Limited ABN 46 004 031 298 AFSL 240975 is the Responsible Entity and Equity Trustees Superannuation Limited ABN 50 055 641 757 AFSL 229757, RSE Licence Number L0001458, is the Trustee for PlatformplusWRAP, which are both 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 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, Equity Trustees Superannuation Limited 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 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.