Portfolio Application & Agreement

PLATFORM+ WRAP

V2025.08.05

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)

Why do I need to provide my TFN? It is not compulsory to provide your Australian TFN. However, individuals who do not provide a TFN (or an ABN for non-individual investors i.e. entities), or alternatively provide exemption details, may have tax deducted from any income at the highest marginal tax rate plus the Medicare Levy or any other applicable levies/taxes.

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

☐ 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 2.1.2 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 2.1.3 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? ☐ 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?

If No skip to Section 1.4 ☐ Yes ☐ No

If yes, the Accountant's Certificate effective date

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

Client Profile 2

Section 2.1.4 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 ☐

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 2.1.5 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

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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
- ☐ Territory Resident
- ☐ Non-Resident
- ☐ Other, please specify
- ☐ Pensioner (Category 1)
- ☐ Pensioner (Category 2)

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 | 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 ☐ 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)
Based on the CRS Tax Classification selected, the organisation is considered a CRS Exempted Entity.

☐ Investment entity (in a non-participating jurisdiction)
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.

☐ Australian registered charity
Based on the CRS Tax Classification selected, the organisation is considered a CRS Exempted Entity

☐ Active NFE
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.

☐ Other (passive NFE)
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.

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 | 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..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 2.2.6 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

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..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
(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 2.13

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

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..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

Tax Parcel Method ☐ Minimise Gains ☐ FIFO ☐ Maximise Gains

Section 3.2 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 3 when returning this Form.

Section 4: Investments

Section 4.1 Account Details

Name of Account

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

Maximum Cash Target^

Invest Excess Cash is only triggered when available cash exceeds the minimum or target cash (if set), and your trade minimum is met.

Set a Cash target ☐ Yes ☐ No

Cash Percentage Target (%)
Cash Target must be equal to or greater than the minimum amount above.

%

OR

Cash Amount Target ($)
Cash Target must be equal to or greater than the minimum amount above.

$

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 as Cash ☐ Reinvest

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

Buy Strategy Start Date ☐ Immediately ☐ Future date (below)

Future date

Minimum buy amount
Target Cash can be set as a $ or % based target amount to be held in cash. Invest Excess Cash is only triggered when to

$

available cash exceeds the minimum or target cash (if set), and your trade minimum is met.
Minimum buy amount cannot be less than 1000

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 (%)
		%
		%
		%
		%
	Total	100%

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

Section 4.4 Automatic Sell Strategy

How would you like the platform to determine asset allocation for your Sell Strategy?

Platform Default *strategy will automatically sell instruments in the order defined in the PDS.*
Copy Excess Cash Strategy *will automatically sell instruments in alignment to selections and weightings as defined in your Invest Excess Cash strategy. This option cannot be selected if you did not answer "Yes" to Section 4.3 above.*
Define My Own strategy *will automatically sell instruments based on the instrument selections and weightings or ranked order you choose for this Portfolio.*

You can only ***choose one (1) Sell Strategy.***

☐ Platform Default

☐ Copy Excess Cash Strategy

☐ Define My Own (below)

If Define My Own, would you like the sell investment method to be as a percentage or order?
You can only ***choose one (1) method****.*

☐ Percentage ☐ Order

Select Investments
Based on your response above, complete either the percentage OR order instructions below. For a ranked order, the order must be sequenced from 1 to the number of investments selected.

Investment Name	Investment Code	Percentage (%)	Order
		%	
		%	
		%	
		%	
	Total	100%	

Section 4.5 Direct Debit Options

Add One Off Deposit? ☐ Yes ☐ No

Payment Amount | Bank Account (Section 3.2) ☐ Bank Account 1 ☐ Bank Account 2

Add Regular Deposit? ☐ Yes ☐ No

Payment Amount | Bank Account (Section 3.2) ☐ Bank Account 1 ☐ Bank Account 2

Start Date
Must be a future date

Final Date^

Frequency
Fortnightly, Monthly, Quarterly or Yearly

Section 4.6 Adviser Fees

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

If NO, skip to Section 4.7

Fee Arrangement Type
*You can only select **either Ongoing or Fixed-Term**.*

☐ **Ongoing Fee Arrangement**

Portfolio Number
This field is mandatory under the Treasury Laws Amendment (Delivering Better Financial Outcomes and Other Measures) Act 2024 (DBFO Act).

Reference Date *(DD/MM) The Reference Date is defined in the Corporations Act 2001. It is for determining the renewal period and cessation of consent: see section 962H.*

Is this account funded with borrowed funds? ☐ Yes ☐ No
When borrowed funds are used to fund an account, only $ adviser fees can be charged.

Adviser Fee Type ☐ % ☐ Flat $
*You can only **choose one (1) fee type.***

Flat dollar ($) Annual Amount
inc GST
$

Charge Frequency
Monthly, Quarterly, Half-yearly or Annually

	Tier			Percentage *inc GST*
Percentage Based (%)	$	To	$	%
	$	To	$	%
	$	To	$	%
	$	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 next Reference Date. 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*

Service/s Provided

Statement/Record of Advice Date

Service/s provided:
Please select all those relevant. The Licensee will provide financial advice and the following services, as documented in your Statement of Advice / Record of Advice.

- ☐ Review of your account
- ☐ Contribution strategy
- ☐ Investment portfolio management
- ☐ Estate planning
- ☐ Retirement planning
- ☐ Protection strategy
- ☐ Withdrawals/Benefit payments
- ☐ Other (please specify):

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 150 days from the Reference 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.

☐ **Fixed-Term Fee Arrangement**

Start Day *(DD/MM)*
Cannot be more than 120 days in the future.

End Day *(DD/MM)*

Is this account funded with borrowed funds? ☐ Yes ☐ No
When borrowed funds are used to fund an account, only $ adviser fees can be charged.

Adviser Fee Type ☐ % ☐ Flat $
*You can only **choose one (1) fee type.***

Flat dollar ($) Amount Per Frequency *inc GST* $

Charge Frequency
Monthly, Quarterly, Half-yearly or Annually

	Tier			Percentage p.a. *inc GST*
Percentage Based (%)	$	To		%
	$	To		%
	$	To		%
	$	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. 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 4.7 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 5: Transfers^

Please review and sign the completed 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 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.
- 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 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 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 4.4) 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 Agreement.
- Understand and agree to the Direct Debit Service Agreement.

Adviser Remuneration Details (if applicable)

If I/We have included an Adviser Fee (Section 4.5) or One-Off Fee (Section 4.6), 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;
- 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
- 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).

Signatory 1

Full Name (print)

Signature

Date

Signatory 2

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, Fund and Division is Platformplus Pty Ltd ("Platformplus") ABN 46 103 551 533 AFSL No. 563335. Platformplus is a subsidiary of Infocus Wealth Management Limited ABN 28 103 551 015. 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.