Portfolio Application & Agreement

PLATFORM+ WRAP

How to Use This Form

This Form should be used to establish a Platformplus Super Wrap Portfolio.

All fields are mandatory unless otherwise indicated by a ^.

The Portfolio types include select one (1) only:

☐ Accumulation

☐ Pension

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

Section 1: Portfolio Holder Details

Section 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		☐ Partner	
Client Type^	☐ Non-contactable	☐ Staff					

Section 1.2 Contact Details

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

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? ☐ Yes, please select the reason: ☐ No

☐ Child under 16 ☐ Pensioner (Category 1)

☐ Territory Resident ☐ Pensioner (Category 2)

☐ Non-Resident

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

Section 2.2 Add Bank Accounts

Account Name

Bank/Sort/Branch Code (BSB) Account Number

Use Account for Direct Debits? ☐ Yes ☐ No

Tax Parcel Method ☐ Minimise Gains ☐ FIFO ☐ Maximise Gains

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

PLATFORM+ WRAP

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? ☐ Retain ☐ Reinvest as Cash
This option applies to distributions from managed funds only.

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 ☐ At Target ☐ Align to Target
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.

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 (%)
		%
		%
		%
		%
	CASH	%
	Total	100%

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

Section 3.4 Adviser Fees

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

If No skip to Section 3.5

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? ☐ 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 fee type.

Flat dollar ($) Annual Amount *inc GST* $

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

Percentage Based (%)

	Tier		Percentage *inc GST*
$	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 Anniversary Day.

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

Section 3.5 Contribution & Withdrawal Strategy

The percentage of a contribution and/or withdrawal that will be allocated to each account

Contribution Strategy Allocation (%)	%	Withdrawal Strategy Allocation (%)	%

Section 4: 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.
- 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 5: 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

- Platformplus Super Wrap Product Disclosure Statement (PDS)
- Platformplus Super Wrap Investment Menu Guides

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.

Full Name (print)	
Signature	
Date	

How to Return this Form

Upload to

Online Application > Documentation

AND Email to

support@platformpluswrap.com.au

^ Indicates that the answer to this question is optional.