

## 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	<input type="text"/>	Surname	<input type="text"/>		
Given Names	<input type="text"/>				
Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> X	<input type="checkbox"/> Prefer not to say	
Date Of Birth	<input type="text"/>	Town of Birth <sup>^</sup>	<input type="text"/>	Country Of Birth	<input type="text"/>
Marital Status <sup>^</sup>	<input type="checkbox"/> Unknown	<input type="checkbox"/> Separated	<input type="checkbox"/> Married/Civil Partnership		
	<input type="checkbox"/> Divorced	<input type="checkbox"/> Widowed	<input type="checkbox"/> Single	<input type="checkbox"/> Partner	
Client Type <sup>^</sup>	<input type="checkbox"/> Non-contactable	<input type="checkbox"/> Staff			

### 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"/>			<input type="checkbox"/> Work	<input type="checkbox"/> Personal
Mobile (Australia +61 only)	<input type="text"/>				
Contact Preferences	<input type="checkbox"/> Email	<input type="checkbox"/> Phone			

### Section 1.3 Regulatory Details

Primary country of Tax Residency	<input type="text"/>	Primary Country of Citizenship	<input type="text"/>		
Tax Identifier (Tax File Number in Australia)	<input type="text"/>				
Are you Exempt from Paying GST?				<input type="checkbox"/> Yes	<input type="checkbox"/> 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

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

#### Bank Account 1

Account Name

Bank/Sort/Branch Code (BSB)  Account Number

Use Account for Direct Debits? (Accumulation only) Yes  No

#### Bank Account 2

Account Name

Bank/Sort/Branch Code (BSB)  Account Number

Use Account for Direct Debits? (Accumulation only) Yes  No

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

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*

%

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"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/> %
	CASH	<input type="text"/> %
	<b>Total</b>	<b>100%</b>

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

**Section 3.4 Direct Debit Options (Accumulation Only)**

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? Yes  No   
*When borrowed funds are used to fund an account, only \$ adviser fees can be charged.*

**Adviser Fee Type**

You can only choose one (1) fee type.

Flat dollar (\$) Annual Amount  
inc GST

\$

Charge Frequency

Monthly, Quarterly, Half-yearly or Annually

%

Flat \$

		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 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 dollar (\$) Amount Per Frequency  
inc GST

\$

Charge Frequency

Monthly, Quarterly, Half-yearly or Annually

%

Flat \$

		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.

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 3.7**

Fee Amount (including GST)  Statement of Advice/Record of Advice Date DD/MM/YYYY

Service/s Provided  
*Please select all those relevant.*

Review of your account  
Contribution Strategy  
Investment portfolio management

Retirement Planning  
Estate Planning  
Protection Strategy

Withdrawals/Benefit Payments  
Other

**Section 3.7 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.
- 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 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
- Direct Debit 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;
- 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; and
- for adviser service fees only, I 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.

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 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 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](http://platformpluswrap.com.au).

^ Indicates that the answer to this question is optional.