

# Adviser registration form

BY COMPLETING THIS FORM you will:

- be registered as an Adviser to use **ifsinvest**, to use and access the **ifsinvest** Platform, to promote the **ifsinvest** Products and Services (as defined), and to be authorised by your Dealer Group described below
- be registered to use the Term Deposit Hub
- have the ability to delegate trading authority to new or existing staff logins.

Please complete this form using BLACK INK and CAPITAL letters.

## 1. Contact details

Title  First name  Surname

Full company name

Australian Business Number (ABN)

Street address

Town or suburb  State  Postcode

Postal address (if different to street address)

Town or suburb  State  Postcode

Main office number  Fax

Direct office number  Mobile

Your email

Office email

Your Skype account (if applicable)

## 2. Dealer Group details

Dealer Group name

Dealer Group ABN

Dealer Group AFSL number

ASIC Authorised Representative number

Corporate Authorised Representative (CAR) or Adviser Office

If you require 'view only' access to another Adviser's clients (within this CAR), please list the adviser name/s below.

## 3. EPI data feeds

If you use financial planning software you may wish to incorporate your client's transaction history into the portfolio information you have recorded. Download files can be provided in a format that can be imported directly into a number of systems. If you would like these downloads, please place a tick beside the appropriate box below.

Xplan     Coin     Visiplan

## 4. Broker services

If you wish to appoint a sponsoring broker and to trade in financial products on behalf of your clients, you will need to apply separately to the broker(s) nominated by your Dealer Group. Attached is an Acknowledgement Form(s) for your Dealer Group's nominated broker(s). By completing and signing the Acknowledgment Form(s) you register with the broker(s) and acknowledge that you have read and agree to abide by the broker's terms and conditions applying to the broking service. Please note that the broker(s) terms and conditions are available on the website of the relevant broker.

## 5. Delegation of authority (if applicable)

If you would like additional logins for your Authorised Employees please indicate their names and email addresses below.

		Access level: (tick applicable)	View & Transact	View Only
Name	<input type="text"/>	Email	<input type="checkbox"/>	<input type="checkbox"/>
Name	<input type="text"/>	Email	<input type="checkbox"/>	<input type="checkbox"/>

## 6. Terms and conditions

### Background

- **ifsinvest**, promoted by Industry Funds Services Limited ABN 54 007 016 195 AFSL No. 232514 ("IFS") has appointed OneVue RE Services Limited ABN 94 101 103 011 and OneVue Services Pty Limited ABN 71 104 037 256 (collectively "the Supplier") to supply IFS and your Dealer Group with the **ifsinvest**, the **ifsinvest** Products and Services, and to give IFS and your Dealer Group access to the **ifsinvest** Platform on terms and conditions contained in the private label agreement between them ("the Private Label Agreement").
- In addition, your Dealer Group has appointed the Supplier to supply **ifsinvest**, the **ifsinvest** Products and Services and to give access to the **ifsinvest** Platform on the terms and conditions contained in the dealer group agreement and registration form between them ("the **ifsinvest** Dealer Agreement").
- If applicable, all remuneration will be paid into the nominated bank account of your Dealer Group at the rate specified on the application form for each client introduced to **ifsinvest**.

You agree to

### Anti-Money Laundering

- act as an agent of the Supplier and IFS to carry out identification and verification procedures pursuant to Anti Money Laundering and Counter Terrorism Financing Act 2006 and its rules and regulations as amended, retain records and monitor and report suspicious transactions.

### Administration

- ensure that all required information to establish a client's account is promptly provided to the Supplier.
- confirm every instruction in writing (whether original, facsimile, email or other acceptable electronic method).

### Indemnity

- indemnify IFS and the Supplier against all losses, costs and expenses which are incurred through the negligence, fraud or dishonesty of you and your employees, servants, agents or contractors and against any liability which may be suffered or incurred by IFS or the Supplier arising out of any breach of any term of the **ifsinvest** Dealer Agreement, and any breach by you of this Agreement or any Service Guide, Product Disclosure Statement or Financial Services Guide issued in connection with the **ifsinvest** Products and Services.
- release, discharge and indemnify IFS and the Supplier against all liabilities that are suffered by you and your clients in respect of the use of the **ifsinvest** Products and Services or inability to transact or use any of them.

### General

You acknowledge that:

- you are responsible for any costs and expenses you incur when promoting the **ifsinvest** Products and Services or performing your obligations under this Agreement.
- any information given to you by IFS or the Supplier in respect of your clients will be kept confidential by you and your staff. You must not use this information to market any other product to your clients or pass this information to any other party without your clients' written consent. If you cease to be the Adviser of a client you must destroy all information provided to you by IFS and the Supplier in respect of that client except as required under relevant law, or with the written consent of that client.
- you consent to IFS and the Supplier passing on information about you (including, without limitation, your name, mailing address and payment details) to related bodies corporate and other service providers for the purpose of administering the **ifsinvest** Products and Services.
- you cannot assign or novate your rights or obligations under this Agreement without the prior written consent of the Supplier and IFS.
- IFS and the Supplier may suspend access to the **ifsinvest** Platform and the **ifsinvest** Products and Services or cancel the ability to transact at their absolute discretion any time and without notice.
- notices and direction under this Agreement must be given in writing (whether original facsimile, email or other electronic method) and addressed to the Adviser or to either IFS's or the Supplier's Chief Executive Officer (as appropriate).
- IFS and the Supplier may vary these terms and conditions at any time.
- this Agreement is governed by the laws in force in New South Wales. All parties submit to the non-exclusive jurisdiction of the courts of New South Wales.

You agree to:

### **ifsinvest** Products and Services

- promote and explain the **ifsinvest** Products and Services to your clients in a professional manner and in accordance with your financial services licence or authorisations and the terms of membership of your Dealer Group.
- promptly advise IFS and the Supplier if you become aware of an actual or likely breach of the terms of any of the **ifsinvest** Products and Services or of the laws by which they are regulated.
- immediately notify IFS and the Supplier if you cease to hold a financial services licence or authorisation which permits you to promote the **ifsinvest** Products and Services.
- not do anything that does or could cause IFS or the Supplier to be in breach of any licence obligations to clients who use the **ifsinvest** Products and Services or to your Dealer Group.

**Nominated Representative**

- only use the Online Order Pad facility after obtaining appropriate authorisation to do so from your client and in accordance with the conditions of use applying to the Online Order Pad facility,
- carry out every instruction received from your clients and processed through the Online Order Pad facility in accordance with your legal and other obligations as an Authorised Representative,
- promptly provide any information which is reasonably requested in order to enable the provision of the **ifsinvest** Products and Services,
- abide by the terms of your appointment as a Nominated Representative of your client and in particular your obligation not to transfer your authorisation to another person.

**General**

You acknowledge and agree that:

- your clients can change advisers and that your participation as a registered Adviser can be terminated at any time without cause.
- neither IFS nor the Supplier will be responsible to report on, police or supervise your obligations to any client or under the Corporations Act 2001.

**Instructions**

- instructions can be halted at any time and without notice to you should IFS or the Supplier not be reasonably satisfied that a current Service Guide, Product Disclosure Statement, Financial Services Guide or other relevant information has been provided to your client.

**Delegated authority**

- in granting delegated authority to members of your staff ("Authorised Employees") you warrant that all the Authorised Employees are employees of the Company referred to in Section 1 of this form have the appropriate training and experience to place orders to transact shares and securities and operate the Online Order Pad.
- you will immediately revoke and terminate the Delegated Authority of any Authorised Employee ceasing employment with the Company and immediately notify IFS and the Supplier in writing of such revocation and termination.

You acknowledge and agree that the Supplier and IFS:

- are entitled to reasonably rely on and act upon instructions received from a client, an Adviser or any of the Authorised Employees without any obligation to check their accuracy or correctness or whether or not they are genuine, and

- are not liable for acting on any instruction given in accordance with this clause including any instruction which contains any error or ambiguity.
- are not responsible for any delays or errors in effecting instructions, where such delays and errors are caused by a technical fault in respect of any electronic interface (including the **ifsinvest** Platform and any website associated with the **ifsinvest** Products and Services).

**Definitions**

**Adviser:** the entity identifying itself as an adviser whose details are specified in Section 1 of this form, also referred to as You/Your.

**Agreement:** the agreement entered into between You, IFS and the Supplier by signing this form.

**Confidential Information:** any information and data that would be regarded as confidential by a reasonable person relating to the portfolio of shares, securities, financial products, and other assets of a client and all other data, investments and affairs of a client including any client log ins and passwords for the Online Order Pad.

**Online Order Pad:** the electronic interface by which orders for shares and securities can be placed to transact in the **ifsinvest** Products and Services.

**Service Guide:** the combined Financial Services Guide, IDPS Guide and Product Disclosure Statement issued by the Supplier from time for the **ifsinvest** Products and Services.

**IFS:** Industry Funds Services Limited ABN 54 007 016 195.

**ifsinvest Platform:** the web-based online service delivery system provided by the Supplier to deliver to financial institutions, dealer groups, advisers and clients the portfolio administration service for the **ifsinvest** Products and Services including the platform access facilities and online access functionality.

**ifsinvest Products and Services:** the suite of financial and administration products and services owned and operated by the Supplier and supplied to IFS for use and promotion under the **ifsinvest** brand and whether under the Supplier's AFSL or through the AFSL or other financial licence of a third party service provider as more particularly set out in the Service Guide.

**ifsinvest:** means the consolidated reporting, administration and tax reporting investment service which gives investors an online view of their total portfolio and enables financial advisers to transact and manage an investor's entire portfolio through a single online facility delivered using the **ifsinvest** Platform and WHICH comprises the **ifsinvest** Products and Services, with access to third party products and services.

**7. Adviser acknowledgement and signature(s)**

By signing this form, I/We hereby accept that I am/We are contracting with IFS and the Supplier on the terms and conditions as specified above and declare the details provided by Me/Us are correct.

In the case where the Adviser is a company, two directors or a director or a company secretary must sign unless the company has a sole director/sole secretary.

Signature - Adviser 1

/   /

Please print name

Signature - Adviser 2

/   /

Please print name

## 8. Dealer Group acknowledgement

By signing this form the Dealer Group acknowledges that:

- The Applicant specified in section 1 above is either:
  - (a) An authorised representative under s916A or authorised under section 916B(3) of the Corporations Act 2001 (Cth) by a Corporate Authorised Representative of the Dealer Group and is authorised to use and access **ifsinvest**, to use and promote the **ifsinvest** Products and Services to use and access the **ifsinvest** Platform; or
  - (b) Otherwise authorised to provide the services sought under this registration.
- The Dealer Group has authorised the Applicant to enter into the agreement with the Supplier and IFS created by this Adviser Registration Form and in so authorising, is also bound by the terms and conditions contained in this form.
- In the case of company signatories, two directors or a director and a company secretary must sign unless the company has a sole director and sole secretary.

Signature - Dealer Group representative 1

/   /

Please print name

Signature - Dealer Group representative 2

/   /

Please print name

<b>Office Use Only</b>	
Promoter	
Dealer Group Code	
Adviser Code	
Complete	