



Shadforth Portfolio Service – Investment

Forms booklet

Dated: 23 March 2020

Issuer: IOOF Investment Services Ltd ABN 80 007 350 405, AFSL 230703.

1800 931 792
portfolio.sfg.com.au

How to get started

In this guide you will find out about:

- the forms included in this booklet
- the steps you need to follow to set up your account
- how to make additional deposits to your account (once it has been set up) using BPAY®.

Which forms to complete

Form name	When to complete this form
Shadforth Portfolio Service – Investment Application	To set up a new account (online functionality available for financial advisers).
Family Fee Aggregation Application	To apply for Family Fee Aggregation (online functionality available for financial advisers).

Before you complete any forms, please ensure you have read the Investor Directed Portfolio Service Guide (Offer Document). If you require further information or any assistance in completing the forms, please contact Shadforth ClientFirst on 1800 931 792 or your financial adviser. Please note that Shadforth ClientFirst is not authorised to give you investment or financial product advice.

Step-by-step guide to opening your account

Once you have read the Offer Document and discussed your investment strategy with your financial adviser (if applicable), you are ready to set up your account.

How to set up your account	
Step 1	Complete the Application form and all other forms that are relevant to you.
Step 2	Deposits can be made via BPAY, direct debit or transfers. If you would like to pay by cheque, make your cheque payable to: Shadforth Portfolio Service – Investment – [your full name or account number] For example, if your name is Robert Brown, your cheque should be made payable as follows: Shadforth Portfolio Service – Investment – Robert Brown
Step 3	Attach your cheque to your Application, and post the Application and all other completed forms to the following address: Shadforth Portfolio Service – Investment Reply Paid 264 Melbourne VIC 8060

We will send you an Account Schedule, normally within seven business days of joining, confirming your personal details and investment strategy.

BPAY details

Once your account has been set up you can make additional deposits using BPAY.

How to use BPAY	
Step 1	Through your nominated financial institution's telephone or internet banking service, choose the BPAY option.
Step 2	To make contributions via the BPAY facility, simply log in to your personal account via portfolio.sfg.com.au to obtain your biller code and unique Customer Reference Number (CRN) information. If you are not registered to access your account details, this information is also available by calling Shadforth ClientFirst.
Step 3	Record the receipt number provided for your transaction. Please keep this for your personal records.

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Shadforth Portfolio Service – Investment

23 March 2020

Shadforth Portfolio Service – Investment Application

Before you sign this Application form, the Service Operator or your licensed financial adviser is obliged to give you an Offer Document, which is a summary of important information relating to Shadforth Portfolio Service – Investment (the Service). The Offer Document will help you to understand the product and decide if it is appropriate to your needs.

Please note: In accordance with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF)*, the Service Operator must obtain proof of identity documents prior to you opening this account. It is important for the Service Operator to follow this process to help protect the money in your account from potential fraud and to comply with legislative requirements.

Please complete these instructions in BLACK INK using CAPITAL LETTERS (except for your email address) and ✓ boxes where provided.

Step 1: Applicant details

You will need to complete certain sections of this Application depending on your investor type.

What part of Step 1 do I need to complete?

- Complete Part A if you are an individual investor
- Complete Part B if you are a Self Managed Superannuation Fund

Part A - Individual Investor

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Residential address (PO Box is not accepted)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
Mailing address (if different from above)	<input type="text"/>	Postcode	<input type="text"/>
Suburb	<input type="text"/>	State	<input type="text"/>
Phone (home)	<input type="text"/>	Phone (work)	<input type="text"/>
Mobile	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email	<input type="text"/>		
Date of birth	<input type="text"/>	/	<input type="text"/>
	<input type="text"/>	/	<input type="text"/>
	<input type="text"/>		<input type="text"/>
Gender	Male	<input type="checkbox"/>	Female <input type="checkbox"/>

If you are residing overseas, you must complete and submit

- An Overseas Investor form (portfolio.sfg.com.au).
- Original Certified copies of your identification documents.

Before providing your TFN please ensure you read the 'Tax Office notifications' section in the Shadforth Portfolio Service – Investment reference guide, which outlines important information regarding the collection of your TFN.

Tax file number - -

OR

I authorise the Service Operator to use the TFN already held on file.

(g) Details of Trustee(s) (complete either i – Corporate Trustee **OR** ii – Individual Trustee(s))

i – Corporate Trustee

Company name

ACN

Registered mailing address (PO Box is not accepted)

Suburb State Postcode

Phone (bh) Phone (ah)

Phone (mobile)

ii – Individual Trustee(s) / Director(s)

Please list all trustee(s), including name(s) and address(es):

Trustee 1 / Director 1

Title (Dr/Mr/Mrs/Ms/Miss) Surname

Given name(s)

This section must be completed. Note: PO Box can only be provided under 'Mailing address'.

Residential address

Suburb State Postcode

Mailing address (if different from above)

Suburb State Postcode

Phone (work) Phone (home)

Phone (mobile) Fax

Email

Date of birth / / Gender Male Female

Occupation

Country of residence

Trustee 2 / Director 2

Title (Dr/Mr/Mrs/Ms/Miss) Surname

Given name(s)

This section must be completed. Note: PO Box can only be provided under 'Mailing address'.

Residential address

Suburb State Postcode

Mailing address (if different from above)

Suburb State Postcode

Phone (work) Phone (home)

Phone (mobile) Fax

Email

Date of birth / / Gender Male Female

Occupation

Country of residence

Trustee 3 / Director 3

Title (Dr/Mr/Mrs/Ms/Miss) Surname

Given name(s)

This section must be completed. Note: PO Box can only be provided under 'Mailing address'.

Residential address

Suburb State Postcode

Mailing address (if different from above)

Suburb State Postcode

Phone (work) Phone (home)

Phone (mobile) Fax

Email

Date of birth / / Gender Male Female

Occupation

Country of residence

Trustee 4 / Director 4

Title (Dr/Mr/Mrs/Ms/Miss) Surname

Given name(s)

This section must be completed. Note: PO Box can only be provided under 'Mailing address'.

Residential address

Suburb State Postcode

Mailing address (if different from above)

Suburb State Postcode

Phone (work) Phone (home)

Phone (mobile) Fax

Email

Date of birth / / Gender Male Female

Occupation

Country of residence

Step 2: Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) requirements

In accordance with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF), please advise the following: (Please note: your application cannot be processed unless this section is completed and you may be requested to provide additional information and documentation to facilitate Shadforth Portfolio Service's compliance with the AML/CTF legislation).

Politically Exposed Person (PEP)

Politically Exposed Persons are individuals who occupy or have occupied a 'prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates, either within or outside Australia.

Are any Trustees/Directors, or an Individual Investor, a Politically Exposed Person(s)?

Individual Investor/Trustee 1 Trustee 2 Trustee 3 Trustee 4

If you have nominated yourself to be a Politically Exposed Person, you must complete and attach the following:

- a Politically Exposed Persons form (portfolio.sfg.com.au).
 original certified copies of your identification documents.

Tax Residency (Individuals only) – not applicable for self managed superannuation funds

Please answer both tax residency questions as you can be a tax resident of more than one country. **If you are only a tax resident of Australia and no other country please proceed to Step 3.**

Are you a tax resident of Australia? Yes No
 Are you a tax resident of any other Country? Yes No

Foreign Residents only – Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)

Under FATCA and CRS laws, we are required to ask all investors to provide additional information about their tax residency. Tax residency rules differ by country. Whether an individual is a tax resident of a particular country is often (but not always) based on the amount of time a person spends in a country, the location of a person's residence or place of work. Refer to Step 12: Applicant declaration and signature.

For all countries where you are a tax resident, other than Australia, please provide a TIN (Tax Identification Number) which is the number assigned by each country for the purposes of administering tax laws such as a Social Security Number in the US. If a TIN cannot be provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

Country	TIN	Reason for no TIN
<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"/>

If there are more countries, provide details on a separate sheet and tick this box

Reasons for not providing a TIN – please select one reason below (if applicable)

- Reason A – The country of tax residency does not issue TINs to tax residents, OR
 Reason B – You have not been issued with a TIN, OR
 Reason C – The country of tax residency does not require the TIN to be disclosed.

Please note: It is important that we hold up to date records, so please call Shadforth ClientFirst on 1800 931 792 if the details you have provided change at any time.

Step 3: Margin lending (does not apply to self managed superannuation funds)

Is any of your investment amount being provided by a margin lender?

- No (go to Step 4a)
- Yes

For details of margin lenders please call Shadforth ClientFirst on 1800 931 792.

Loan account number	<input type="text"/>	
Margin lender authorised signatory 1	<input type="text"/>	Date <input type="text"/> / <input type="text"/> / <input type="text"/>
Full name	<input type="text"/>	
Loan account number	<input type="text"/>	
Margin lender authorised signatory 2	<input type="text"/>	Date <input type="text"/> / <input type="text"/> / <input type="text"/>
Full name	<input type="text"/>	
Margin lender's stamp	<input type="text"/>	

Step 4a: Deposit instruction

You are required to make an investment choice as part of your application. If you have not made a decision about your Deposit Instruction, you can choose to invest in the Cash Account until you make another investment choice.

Please advise us of your Deposit Instruction.

Please note:

- Please ensure that the Deposit Instruction includes at least the default minimum allocation of 1% against the Cash Account. The percentages allocated to the Cash Account and your selected investment option(s) must add up to 100%.
- If no investment selection is nominated or your choice is unclear, funds will be allocated to the Cash Account.
- For a full list of investment options available for selection within Shadforth Portfolio Service – Investment go to our website, select from the **Shadforth Portfolio Service investment guide** and list your selections in the space provided.
- To ensure the investment option selections are listed correctly, please add the APIR code along with the name of the investment option.
- Term deposits and listed investments cannot form part of your Deposit Instruction. Please refer to Step 4b and 4c to provide these instructions.

100% Cash Account **OR** **Deposit Instruction**

APIR Code	Investment option	Allocation (%)
<input type="text"/>	Cash Account (Mandatory)	<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"/>	<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"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
Total (must = 100%)		<input type="text"/>

Step 4b: Listed investments

Minimum trade is \$2,000 per listed investment.

ASX code	Investment option	Units	OR	Investment amount
<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"/>
<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"/>
<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"/>

Please note:

- If additional space is required, please attach a separate signed sheet.
- These investments cannot form part of your Standing Instructions.

Step 4c: Term deposits (minimum \$20,000)

Months	<input type="text"/>	Amount	\$	<input type="text"/>
Months	<input type="text"/>	Amount	\$	<input type="text"/>
Months	<input type="text"/>	Amount	\$	<input type="text"/>
Months	<input type="text"/>	Amount	\$	<input type="text"/>

Please select your provider (if no selection is made, Adelaide Bank will be used)

- Adelaide Bank
- NAB
- ANZ

Please note:

- 3, 6 and 12 month terms are offered.

Step 6: Income preferences

I direct the Service Operator to manage income distributions that I receive from managed investments as follows:

Re-invest (default option) – Re-invest 100% of the income distributions back into the same managed investment that made the income distribution.

OR

Retain in Cash Account – Leave all income distributions to accumulate in my Cash Account.

If you don't indicate your income preference, the default option of re-invest will be applied.

Step 7: Initial deposit details

The minimum initial deposit is \$10,000 OR \$2,500 with a Regular Savings Plan.

For initial contributions equal to or more than \$2 million you must also complete and attach:

- a High Threshold Transaction form (portfolio.sfg.com.au)
- original certified copies of your identification documents

Details of the initial deposit included in this application.

Cheque	<input style="width: 95%;" type="text"/>	
BPAY	<input style="width: 95%;" type="text"/>	
Direct debit	<input style="width: 95%;" type="text"/>	Complete and attach Direct debit form
In specie transfer	<input style="width: 95%;" type="text"/>	Complete and attach In specie transfer form
Total initial deposit	\$ <input style="width: 95%;" type="text"/>	

Step 8: Regular Withdrawal Plan (optional)

Regular withdrawals will be paid out of your Cash Account on the 6th day of the month or the nearest business day after, according to the frequency you selected. Regular withdrawals may not be paid if there is insufficient cash in your Cash Account to meet the regular withdrawal amount.

Do you wish to set up a Regular Withdrawal Plan?

- No (go to Step 9)
- Yes

Regular Withdrawal Plan details

Commence regular withdrawals from /

Monthly Quarterly

Regular withdrawal amount required \$ (minimum \$200)

Financial institution details for Regular Withdrawal Plan

Financial institution	<input style="width: 100%; height: 20px;" type="text"/>																			
Branch	<input style="width: 100%; height: 20px;" type="text"/>																			
Account name	<input style="width: 100%; height: 20px;" type="text"/>																			
BSB	<input style="width: 100%;" type="text"/>	-	<input style="width: 100%;" type="text"/>	Account number	<input style="width: 100%; height: 20px;" type="text"/>															

Please note:

- Please ensure your account details are correct as we will not be liable for mistaken payments based on incorrect details.

Step 9: Financial institution details for ad hoc withdrawals (optional)

Please provide financial institution details for any ad hoc withdrawals, otherwise we will use the details provided in Step 8.

Financial institution																												
Branch																												
Account name																												
BSB				-				Account number																				

Please note:

- Please ensure your account details are correct as we will not be liable for mistaken payments based on incorrect details.

Step 10: Advice fees

Choose your fee option. Fees should be provided including GST. All boxes for the relevant fee option must be completed. Blank boxes will default to nil.

(1) Advice fee – upfront

Up to a maximum of 5.5% (inclusive of GST) of each deposit.

Deposits received via cheque and BPAY % (inclusive of GST)

Please note: Advice fee – upfront for deposits received via direct debit could be entered when setting up a direct debit using the Direct Debit Request – Investment form.

(2) Advice fee – ongoing

The available fee options are:

(a) Percentage based fee options – flat percentage or tiered percentage

Flat percentage fee

Up to a maximum of 2.2% per annum (inclusive of GST) of your account balance % per annum (inclusive of GST)

OR

Tiered percentage fee

- Up to a maximum of 2.2% per annum (inclusive of GST) of your account balance can be applied to the amount for each tier.
- The default fee will be 0% if no nomination is made.
- Up to a maximum of 7 tiers.

	Balance from	Balance to	% per annum (inclusive of GST)
Tier 1	\$ <input style="width: 100px;" type="text"/>	\$ <input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Tier 2	\$ <input style="width: 100px;" type="text"/>	\$ <input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Tier 3	\$ <input style="width: 100px;" type="text"/>	\$ <input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Tier 4	\$ <input style="width: 100px;" type="text"/>	\$ <input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Tier 5	\$ <input style="width: 100px;" type="text"/>	\$ <input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Tier 6	\$ <input style="width: 100px;" type="text"/>	\$ <input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Tier 7	\$ <input style="width: 100px;" type="text"/>	\$ <input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>

AND/OR

(b) Flat dollar fee

Up to a maximum of \$18,000 per annum (inclusive of GST).

\$ per annum
(inclusive of GST)

(3) Advice fee – one-off

A maximum of 10% of the account balance up to a fee of \$11,000 (inclusive of GST), OR a maximum fee of \$3,300 (inclusive of GST) where the fee is greater than 10% of the account balance.

\$ per request
(inclusive of GST)

Step 11: Financial adviser details (financial adviser to complete, if applicable)

We will only register a financial adviser who:

- holds a current AFSL
- is a representative of a current AFS Licensee.

Financial adviser details

Dealer name	<input type="text"/>
Financial adviser name	<input type="text"/>
Contact name	<input type="text"/>
AFSL	<input type="text"/> Financial adviser number <input type="text"/>

If you are a new financial adviser¹, please also complete the following details:

Business name	<input type="text"/>									
Business address	<input type="text"/>									
Suburb	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>					
Mailing address (if different from above)	<input type="text"/>									
Suburb	<input type="text"/>	State	<input type="text"/>	Postcode	<input type="text"/>					
Phone	<input type="text"/>	<input type="text"/>	<input type="text"/>	Phone (mobile)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email	<input type="text"/>									
Internal client reference number (if applicable)	<input type="text"/>									

¹ An email notifying your new financial adviser number will be forwarded to your office shortly.

Declaration by financial adviser

In submitting this Application:

- I declare that I hold a current AFSL **OR** I am a representative or an authorised representative nominated to act on behalf of a holder of a current AFSL.
- I declare that the applicant has authorised me, as their agent, to request withdrawals from their account.
- I declare that the financial institution details specified in this form belong to the applicant and I am authorised to instruct the Service Operator to pay any withdrawal proceeds to the nominated bank account.
- I release and indemnify the Service Operator and any member of the Group from and against all demands, actions, proceedings, losses, liabilities and costs arising directly or indirectly out of or in connection with any withdrawal instructions provided under this authority.
- I confirm that I have provided the applicant with all the necessary information concerning their chosen investment, including the product disclosure statement.
- I confirm that fees have been fully explained to the applicant.
- I agree that any investor advice fees will cease to be charged for this account once the Service Operator is notified of the death of the applicant.
- I consent to provide the Group access to all proof of identification records for the purposes of this Application if requested (pursuant to the AML/CTF legislation Part 7.2).
- I confirm that I have conducted the relevant customer identification procedure in line with the obligations under the AML/CTF legislation and:
 - I have attached original certified copies of the applicant's, or applicants', identification document(s) with this Application;

Please note: Compulsory where:

 - initial contribution is equal to or more than \$2 million or
 - the applicant is a Politically Exposed Person or
 - the applicant is not residing in Australia
 - OR**
 - I have completed and signed an FPA/FSC identification form which is attached to this Application (and retained an original certified copy of the applicant's, or applicants', identification document(s));
 - OR**
 - I have sighted and retained the original certified copies of the applicant's, or applicants', identification documents recorded in the following Record of proof of identity, Proof of Regulated Trust, and Proof of Company (if applicable) table **(Please complete the following table(s) and declaration).**

Individual Investor / Trustee 1 / Director 1

Record of proof of identity (ID) ¹	ID document 1	ID document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

¹ For further information on the types of proof of identity which can be attached or verified and retained, please refer to the 'Completing Proof of Identity' document on portfolio.sfg.com.au. It also includes a list of persons authorised to certify copies of original documents.

Trustee 2 / Director 2

Record of proof of identity (ID) ²	ID document 1	ID document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

2 For further information on the types of proof of identity which can be attached or verified and retained, please refer to the 'Completing Proof of Identity' document on portfolio.sfg.com.au. It also includes a list of persons authorised to certify copies of original documents.

Trustee 3 / Director 3

Record of proof of identity (ID) ³	ID document 1	ID document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

3 For further information on the types of proof of identity which can be attached or verified and retained, please refer to the 'Completing Proof of Identity' document on portfolio.sfg.com.au. It also includes a list of persons authorised to certify copies of original documents.

Trustee 4 / Director 4

Record of proof of identity (ID) ⁴	ID document 1	ID document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

4 For further information on the types of proof of identity which can be attached or verified and retained, please refer to the 'Completing Proof of Identity' document on portfolio.sfg.com.au. It also includes a list of persons authorised to certify copies of original documents.

Proof of Regulated Trust

	Proof document 1	Proof document 2
Verified from	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer / website		
Document type / search details		
Issue date / search date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

Proof of Company (if applicable)

	Proof document 1	Proof document 2
Verified from	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Performed search <input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer / website		
Document type / search details		
Issue date / search date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

I have attached the following compulsory forms to the application (if applicable):

- High Threshold form – applicable where the initial deposit is equal to or more than \$2 million.
- Politically Exposed form – applicable if the applicant is a Politically Exposed Person.
- Overseas Investor form – applicable if the applicant is not residing in Australia.

Signature Date / /

Name of financial adviser or AFSL holder representative

Step 12: Applicant declaration and signature(s)

Privacy

Information (including my personal information) provided to the Service Operator is used for the purpose of opening an investment account and for other related purposes. For the purpose of providing me with the products or services I have requested, the Service Operator may disclose my personal information to its related bodies corporate, my financial adviser, professional advisers, businesses that have referred me to the Service Operator, banks and other financial institutions, or to provide me with information about other products or services that may be of interest to me. The Service Operator is required to collect my personal information under the *Corporations Act 2001* and the AML/CTF legislation. If I do not provide all of the requested information, the Service Operator may not be able to action my request. To verify my identity for Know Your Customer (KYC) purposes, the Service Operator may also solicit personal information about me from reliable identity verification service providers. My personal information will be handled in accordance with the Service Operator's privacy policy, which contains information about how I may access or correct my personal information and how I may complain about a breach of the Australian Privacy Principles. I may request a copy of the privacy policy by contacting Shadforth ClientFirst on 1800 931 792 or by visiting sfg.com.au/portfolio/privacy. I understand that if I provided the personal information of other persons to the Service Operator, it is my responsibility to inform those persons and to refer them to the Service Operator's privacy policy.

Proof of identity

- I have provided the appropriate documents, or details of my identity as outlined in the 'Completing Proof of Identity' document on portfolio.sfg.com.au, that may be required for the purposes of the AML/CTF legislation.
- I confirm that I have correctly indicated my foreign residency or United States tax residency status in this Application form and during the customer identification process (does not apply to self managed superannuation funds).

- If I previously have opened a product from the Group and my adviser has not conducted the customer identification procedure under the AML/CTF legislation in conjunction with this application, I confirm that I am not a U.S. citizen or resident and/or any other foreign resident for tax purposes, or are not purchasing this product on behalf of another foreign resident and/or U.S. citizen or resident for tax purposes (does not apply to self managed superannuation funds).

Electronic communications

I agree to receive communications from the Service Operator electronically via Shadforth Portfolio Online and agree to notify the Service Operator of any change to my email address.

Transferring from another product within the Service

If I am transferring from another product within the Service, then I do so on the terms and conditions outlined in the Offer Document.

Financial adviser (if applicable)

- If I have acquired the services of a financial adviser to obtain advice concerning my investment in the Service then I confirm that I have been fully informed of the nature and risks of the selected investment options and are satisfied these investments are suitable for my investment needs.
- The Service Operator will acquire the services of my financial adviser who will act on my behalf in relation to managing my account.
- I hereby authorise my current or any future financial adviser and their staff, to act as my agent to operate my account, to give any instructions on my behalf in relation to my account to the Service Operator by any methods as set out in the Offer Document and to withdraw any funds from my account and authorise payment of the withdrawal to my nominated bank account.
- I release and indemnify the Service Operator and any member of the Group from and against all demands, actions, proceedings, claims, losses, liabilities and costs arising directly or indirectly out of or in connection with the Service Operator acting or omitting to act on instructions given by my financial adviser and their staff under this authority.
- I authorise the Service Operator to continue to follow instructions given under this authority until the Service Operator receives notice in writing signed by me to cancel the authority.
- I acknowledge that I will promptly advise my financial adviser and/or Service Operator if any of my details change at any time.
- I understand this authority applies to my current or any future financial adviser and their staff, acting as my agent.

Margin Lending

I acknowledge that I have read and understood the obligations under margin lending arrangements in respect of my account in the Service as detailed in the Offer Document.

Cash Account

If there are insufficient holdings in my Cash Account to meet future expenses, I direct the Service Operator to redeem all or part of my investment options in accordance with the Cash Account top-up instruction provided in Step 5.

Deposit Instruction

- The Service Operator is directed to process the Deposit Instruction specified on this form.
- The Instructions provided in this form override any previous Instructions.

Investment options with extended redemption periods

- I acknowledge that if I make an investment in an investment option that is designated as an investment option with extended redemption periods (in the investment menu as updated on the Shadforth Portfolio Service website), I have been informed that:
 - the Service Operator is not required to transfer the whole of my withdrawal amount (or a partial amount requested to be transferred) until after receiving all that is necessary to process my request.
 - the reasons why an investment is illiquid is due to the underlying fund manager imposing withdrawal restrictions or having the ability to extend the withdrawal period in certain market conditions.
 - the maximum period in which a transfer must be effected is the period set out in the underlying product disclosure statement for the investment option with extended redemption periods which may be up to 365 days for some restricted investments.
- I understand and accept the conditions as outlined above when investing in an investment option with extended redemption periods because of the illiquid nature of the investment.

Product disclosure statements for managed investment options

- I have received (either from the Shadforth Portfolio Service website or from a financial adviser), read and understood the current product disclosure statement(s) of the underlying managed investments I have selected.
- The Service Operator provided me with the product disclosure statement(s) for the underlying managed investments I have selected via the Shadforth Portfolio Service website and I agree to receive these product disclosure statement(s) by obtaining them from the website.
- I may not have the most current product disclosure statement and continuous disclosure information for a managed investment when switches and/or further investments are made into the Service.

Investment options

- If I choose not to acquire the services of a financial adviser, I understand the risks and effects of this investment and take full responsibility for my choice of investment options.
- I acknowledge that certain investment options are only available if I am a client of a particular financial adviser or AFS Licensee, and if I cease to be a client of that financial adviser or AFS Licensee, I will not be able to make any new investments into those exclusive investment options (see the notes to the Investment Options Menu in the **Shadforth Portfolio Service investment guide** for information on these exclusive investment options).

Term deposits

If I have invested in term deposits:

- I have read, understood and agree to the terms and conditions regarding investing in term deposits as set out in the Offer Document.
- the Service Operator provided me with the product guide for the underlying term deposit I have selected via the Shadforth Portfolio Service website and I agree to receive the product guide by obtaining it from the website.
- I have received (either from the Shadforth Portfolio Service website or from a financial adviser), read and understood the current product guide and any supplementary product guide for the relevant product or service, and the current product guide statements of the underlying term deposit I have selected.
- I acknowledge, that where this Investment Instruction for a term deposit is made at the same time as a new application for a Shadforth Portfolio Service product or service, this Investment Instruction will be processed before any other Investment Instruction relating to my new account is processed.

Listed investments

I hereby authorise that the designated investments be executed on my behalf and acknowledge that this authority is provided on the basis that the Service Operator will effect it according to the terms and conditions as set out in the Shadforth Portfolio Service investment guide. I also acknowledge these assets will be held in the name of the Service.

Portfolio Management Fee (may be applicable to clients when using the Managed Portfolio Service only)

- The amount of any Portfolio Management Fee that is paid to the managed discretionary account operator, Managed Portfolio Services Limited, as agreed by me separately in the Managed Portfolio Service Investor Agreement, will be an additional cost to me and charged against my account.
- I authorise the Service Operator to charge the agreed Portfolio Management Fee against my account.

Power of Attorney

If your Application is signed under a Power of Attorney, please enclose a certified copy of the Power of Attorney and the proof of identity documents, as outlined in the 'Completing Proof of Identity' document on portfolio.sfg.com.au, for both the Applicant and the Attorney, with your Application. If signed under Power of Attorney, the Attorney certifies that no notice of revocation of that Power of Attorney has been received. For self managed superannuation funds, please note that the Application cannot be signed under a Power of Attorney without confirmation the Power of Attorney is also a Trustee.

In signing this Application, I declare that:

- I have received, read, signed and understood the Offer Document for Shadforth Portfolio Service – Investment within Australia.
- All details in this Application are true and correct and I undertake to inform the Service Operator of any changes to the information supplied as and when they occur.
- I wish to apply to establish an account in the Service.
- I am aware that information provided about me and my account will be provided to the Australian Taxation Office and any relevant international taxation authority.

- If this Application is for a Trust or SMSF, I confirm that all Trustees are 18 years of age or over and/or that all directors are 18 years of age.
- If this Application is for a Trust or SMSF, I authorise the Service Operator to accept instructions from any Trustee or director to operate the account (excluding the establishment of a Direct Debit Request) and agree this authority will extend to a Trustee or director over the age of 18 who is appointed in the future. I agree to release the Service Operator from, and indemnify against, any and all losses and liabilities arising from any payment or action the Service Operator makes based on receipt of an instruction from the other Trustee/s and/or director/s.
- I acknowledge that by investing through the Service, I do not have access to some of the rights and entitlements that would otherwise be available to me as a retail investor if I invested in the underlying investment options directly. I understand that this includes not having the same rights as direct retail investors or not having access to:
 - cooling-off rights (see the 'Cooling-off period' section of the Offer Document and the 'Differences between investing in listed investments directly and through Shadforth Portfolio Service' section of the Shadforth Portfolio Service investment guide)
 - withdrawal rights (see the 'Differences between investing in listed investments directly and through Shadforth Portfolio Service' section of the Shadforth Portfolio Service investment guide)
 - voting rights (see the 'Differences between investing in listed investments directly and through Shadforth Portfolio Service' section of the Shadforth Portfolio Service investment guide)
 - corporate actions (see the 'Differences between investing in listed investments directly and through Shadforth Portfolio Service' section of the Shadforth Portfolio Service investment guide).

Applicant(s) signature(s)

Part A – Individual Investor

Signatory 1 Date / /

Full name

Part B – Self Managed Superannuation Fund

Signatory 1 Date / /

Title (such as Director/Trustee)

Full name

Signatory 2 Date / /

Title (such as Director/Trustee)

Full name

Signatory 3 Date / /

Title (such as Director/Trustee)

Full name

Signatory 4 Date / /

Title (such as Director/Trustee)

Full name

Common seal (of company) if required

Advice fees (if you completed Step 10)

- I authorise the Service Operator to charge the advice fee(s) selected against my account.
- The amount of any advice fee(s) that are paid to my financial adviser, or their Australian Financial Services Licensee (Licensee) as agreed by me, will be an additional cost to me and charged against my account. An advice fee will not be charged unless I tell the Service Operator to do so.
- Any agreed advice fee(s) will be charged to my account and paid in full to the financial adviser, or their Licensee, until I instruct the Service Operator to cease payment or when I change my nominated financial adviser.

Applicant(s) signature(s)

Part A – Individual Investor

Signatory 1 Date / /

Full name

Part B – Self Managed Superannuation Fund

Signatory 1 Date / /

Title (such as Director/Trustee)

Full name

Signatory 2 Date / /

Title (such as Director/Trustee)

Full name

Signatory 3 Date / /

Title (such as Director/Trustee)

Full name

Signatory 4 Date / /

Title (such as Director/Trustee)

Full name

Common seal (of company) if required

Please forward all correspondence and enquiries to:

Post: Shadforth Portfolio Service – Investment
Reply Paid 264, Melbourne VIC 8060

Email: portfolioservice@sfg.com.au

Telephone: 1800 931 792

Linked account

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Trust name*	<input type="text"/>		
Account number (if known)	<input type="text"/>		
Date of birth	<input type="text"/>	/	<input type="text"/>
Relationship to group (such as spouse)	<input type="text"/>		

* For self managed superannuation funds only

Declaration: I have read the current PDS and/or Offer Documents, and the terms and conditions of Family Fee Aggregation. I apply for my account(s) to be linked to other parties detailed on this form for the purpose of calculating the Administration Fee, and warrant that the information I have disclosed in this form is true and correct.

Signature	<input type="text"/>	Date	<input type="text"/>	/	<input type="text"/>	/	<input type="text"/>
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Please forward all correspondence and enquiries to:

Post: Shadforth Portfolio Service
Reply Paid 264, Melbourne VIC 8060

Email: portfolioservice@sfg.com.au

Telephone: 1800 931 792

Contact us

Postal address

Shadforth Portfolio Service
GPO Box 264
Melbourne VIC 3001

Service Operator

IOOF Investment Services Ltd
ABN 80 007 350 405
AFSL 230703

Telephone

1800 931 792

Registered address

Level 6, 161 Collins Street
Melbourne VIC 3000

Email

portfolioservice@sfg.com.au

Website

portfolio.sfg.com.au

Shadforth Financial Group Limited | ABN 27 127 508 472 | AFSL 318613

This is general advice only and does not take into account your financial circumstances, needs and objectives. Before making any decision based on this document, you should assess your own circumstances or seek advice from a financial adviser and seek tax advice from a registered tax agent. Information is current at the date of issue and may change. Part of the IOOF group

1800 931 792
portfolio.sfg.com.au

