



# Shadforth Portfolio Service – Investment

## Forms booklet

Dated: 1 April 2019

Issuer: IOOF Investment Management Limited ABN 53 006 695 021, AFS Licence No. 230524.

1800 931 792  
[portfolio.sfg.com.au](http://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 advisers).
Family Fee Aggregation Application	To apply for Family Fee Aggregation (online functionality available for 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 B <sub>PAY</sub> , direct debit or transfers.  If you would like to pay by cheque, make your cheque payable to:  <b>Shadforth Portfolio Service – Investment – [your full name or account number]</b>  For example, if your name is Robert Brown, your cheque should be made payable as follows:  <b>Shadforth Portfolio Service – Investment – Robert Brown</b>
Step 3	Attach your cheque to your Application, and post the Application and all other completed forms to the following address:  <b>Shadforth Portfolio Service – Investment Reply Paid 264 Melbourne VIC 8060</b>

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

## B<sub>PAY</sub> details

Once your account has been set up you can make additional deposits using B<sub>PAY</sub>.

How to use B <sub>PAY</sub>	
Step 1	Through your nominated financial institution's telephone or internet banking service, choose the B <sub>PAY</sub> option.
Step 2	To make contributions via the B <sub>PAY</sub> facility, simply log in to your personal account via <a href="http://portfolio.sfg.com.au">portfolio.sfg.com.au</a> 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

1 April 2019

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

### Step 1: Applicant details

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"/>	Gender	Male <input type="checkbox"/> Female <input type="checkbox"/>

**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.

**OR**

I choose not to disclose my TFN.

**OR**

I am not an Australian resident for tax purposes.

**OR**

I claim an exemption from quoting my TFN.

Reason for exemption

## Anti-Money Laundering (AML) and Counter-Terrorism Financing (CTF)

In accordance with *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Law), 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 AML/CTF Law).

### Politically Exposed Person

Politically Exposed Persons are individuals who occupy or have occupied a ‘prominent public position or function’ either within or outside Australia. Examples of a ‘prominent public position or function’ include:

- Heads of State/government.
- Senior Politicians or other important party officials.
- Senior government, judicial or military officials.
- Senior executives of government/state owned enterprises.

The definition of a Politically Exposed Person extends to the immediate family members and close (i.e. business/professional) associates of the individual holding the ‘prominent public position or function’.

Are you a Politically Exposed Person?

Yes     No

If Yes, please nominate one of the below:

I hold one of the above mentioned publicly exposed roles. Please specify.

I am a close associate/family member. Please specify your relationship to the Politically Exposed Person.

**Please note:**

- If you have nominated yourself to be a Politically Exposed Person you must also complete a Politically Exposed Persons Form separate to this application form. The Politically Exposed Persons Form can be accessed via [portfolio.sfg.com.au/portfolio-information](http://portfolio.sfg.com.au/portfolio-information).
- If you have nominated yourself to be a Politically Exposed Person please provide a certified copy of your identification document with this application.

### Source of funds (the origin of your contribution to set up your account)

- Income from Employment (e.g. regular and/or bonus)
- Investment Income (e.g. rent, dividends, pension)
- One-off payment (e.g. matured investment, court settlement, redundancy, inheritance)
- Sale of assets (e.g. shares, property)
- Windfall (e.g. gift, lottery winnings, gambling)
- Borrowed Funds
- Government benefits
- Other (please specify)

### Source of wealth (the origin of your financial standing or total net worth ie, how you generated your wealth)

- Income from Employment (e.g. regular and/or bonus)
- Investment Income (e.g. rent, dividends, pension)
- Business income
- One-off payment (e.g. matured investment, court settlement, redundancy, inheritance)
- Sale of Assets (e.g. shares, property)
- Windfall (e.g. gift, lottery, gambling)
- Other (please specify)

Are you a tax resident of Australia?  Yes  No

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

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 2.**

**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 11: 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 2: Margin lending**

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

- No (go to Step 3a)
- Yes

Please ensure your margin loan is from a Shadforth Portfolio Service approved margin lender. For details of approved 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 3a: 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 3b and 3c to provide these instructions.

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

APIR Code	Investment option	Allocation (%)
<input style="width: 100%; height: 20px;" type="text"/>	Cash Account (Mandatory)	<input style="width: 100%; height: 20px;" type="text"/>
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
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<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
<b>Total (must = 100%)</b>		<input style="width: 100%; height: 20px;" type="text"/>



### Step 3b: 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"/>
<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 3c: 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 4: Cash Account preferences

### Cash Account limits

You must maintain a minimum percentage allocation to the Cash Account.

Please specify one of the following options:

**Cash Account default minimum of 1%**

**OR**

**Cash Account percentage nominated in your Deposit Instruction**

### Cash Account cap (optional)

You may also nominate an optional dollar based cap on the amount held in your Cash Account in addition to your nominated Cash account limit above, subject to a \$5,000 minimum.

To set a Cash Account cap, please specify the amount here \$

### Cash Account top-up

If the balance in your Cash Account is zero or below, the Service Operator will top up the balance to the lower of:

- the Cash Account default minimum of 1% or the Cash Account percentage nominated in your Deposit Instruction; or
- the Cash Account cap

We will top up your Cash Account balance by redeeming the necessary amount from your managed investments (without prior notice to you) in accordance with the method you have selected below:

**Pro-rata (default option)** – Redeem funds across all managed investments according to the proportion of the portfolio that they represent.

**OR**

**Redemption instruction – percentage** – Redeem funds from specified managed investments according to the percentage allocation nominated below.

**Please note:**

- The percentages allocated for your selected investment option(s) must add up to 100% not including the Cash Account.
- To ensure the investment option selections are listed correctly, please add the APIR code along with the name of the investment option.
- Investment options with extended redemption periods, capital guaranteed income/pension investment options, term deposits and listed investments cannot form part of your redemption instruction – percentage.

APIR Code	Investment option	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"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
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<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"/>
<b>Total (must = 100%)</b>		<input type="text"/>

If you don't indicate a top-up method, the default option of pro-rata will be applied.

### Step 5: 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 6: Initial deposit details

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

Details of the initial deposit included in this application.

Cheque	<input style="width: 250px; height: 20px;" type="text"/>
BPAY	<input style="width: 250px; height: 20px;" type="text"/>
Direct debit	<input style="width: 250px; height: 20px;" type="text"/>
In specie transfer	<input style="width: 250px; height: 20px;" type="text"/>
Total initial deposit	\$ <input style="width: 250px; height: 20px;" type="text"/>

**Please note:**

- For any initial deposit equal to or more than \$2 million you must also complete the High Threshold Transaction details section below.
- For any initial deposit equal to or more than \$2 million please provide a certified copy of your identification document with this application.

#### High Threshold Transaction details

How long has the investor been a client of the advisory firm? (ie how well does the adviser know the client, their background, their investment structure, their transaction behaviours)


Why specifically is the client investing in to this IOOF product?


### Step 7: 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 8)  
 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

Branch

Account name

BSB  -  Account number

**Please note that the account must be held either solely or jointly in your name.**

### Step 8: Financial institution details for ad hoc withdrawals (optional)

Financial institution

Branch

Account name

BSB  -  Account number

**Please note that the account must be held either solely or jointly in your name.**

## Step 9: 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	\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											<table border="1" style="display: inline-table; width: 100px; height: 20px;"></table>
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Tier 3	\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											<table border="1" style="display: inline-table; width: 100px; height: 20px;"></table>
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Tier 5	\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											<table border="1" style="display: inline-table; width: 100px; height: 20px;"></table>
Tier 6	\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											<table border="1" style="display: inline-table; width: 100px; height: 20px;"></table>
Tier 7	\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											\$ <table border="1" style="display: inline-table; width: 100px; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											<table border="1" style="display: inline-table; width: 100px; height: 20px;"></table>

AND/OR

#### (b) Flat dollar fee.

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

	per annum (inclusive of GST)
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## Step 10: Financial adviser details (financial adviser to complete, if applicable)

We will only register a financial adviser who:

- holds a current Australian Financial Services (AFS) Licence
- is a representative of a current AFS Licensee.

### Financial adviser details

Dealer name																															
Financial adviser name																															
Contact name																															
AFS license number																Financial adviser number															

If you are a new financial adviser<sup>1</sup>, please also complete the following details:

Business name																														
Business address																														
Suburb																State				Postcode										
Mailing address (if different from above)																														
Suburb																State				Postcode										
Phone										Phone (mobile)																				
Email																														
Internal client reference number (if applicable)																														

### Declaration by financial adviser

In submitting this Application:

- I declare that I hold a current AFS Licence **OR** I am a representative or an authorised representative nominated to act on behalf of a holder of a current AFS Licence.
- 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 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 Rules Part 7.2).
- I confirm that I have conducted the relevant customer identification procedure in line with the obligations under AML/CTF Law and:

I have attached a certified copy of the applicant's identification document(s) with this Application; **(Please note: For initial deposits equal to or more than \$2 million or if the applicant is a Politically Exposed Person, you must choose this option.)**

**OR**

I have completed and signed an FPA/FSC identification form which is attached to this Application (and retained a certified copy of the applicant's identification document(s));

**OR**

I have sighted (and retained a copy of) the original or certified copy of the applicant's identification document(s) recorded in the following Record of proof of identity table **(Please complete the following table and declaration).**

Record of proof of identity (ID) <sup>2</sup>	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](http://portfolio.sfg.com.au). It also includes a list of persons authorised to certify copies of original documents.

Signature  Date  /  /

Name of financial adviser or AFSL holder representative

## Step 11: Applicant declaration and signature

### 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. 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 Law. 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. The privacy policy contains information about how I may access or correct my personal information held by the Service Operator 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 [www.sfg.com.au/portfolio/privacy](http://www.sfg.com.au/portfolio/privacy).

### 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](http://portfolio.sfg.com.au), that may be required for the purposes of AML/CTF Law.
- 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.
- If I previously have opened a product from the Group and my adviser has not conducted the customer identification procedure under AML/CTF Law 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.

### Electronic communications

By default, you will receive communications from the Service Operator electronically via Shadforth Portfolio Online.

### 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 am 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 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 4.

## 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 a 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.

## 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](http://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.

### In signing this Application, I declare that:

- I have received, read and understood the Offer Document for Shadforth Portfolio Service – Investment.
- 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.
- 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 signature

Applicant signature

Date   /   /

#### Advice fees (if you completed Step 9)

- 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 signature

Date   /   /

**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

# Shadforth Portfolio Service – Investment

1 April 2019

## Family Fee Aggregation Application

Complete the following form to apply for Family Fee Aggregation across **Shadforth Portfolio Service products**<sup>1</sup>.

### Terms and conditions

- Each person applying to link for the purposes of Family Fee Aggregation must be a member of the same immediate family (such as spouse, son, daughter, partner, father, mother, brother, sister, grandparents and the spouses of immediate family members) including multiple accounts for the same person.
- Any new Family Fee Aggregation nomination will override any previous nomination.
- A maximum of six accounts are allowed to be linked together for Family Fee Aggregation purposes.
- Accounts nominated for Family Fee Aggregation within the same group must be associated with the same financial adviser.
- A Family Fee Aggregation request can be rejected and a linking can be cancelled at any time by us.
- Each linked account may be able to view information about the other Family Fee Aggregation accounts, including names and account numbers.

The Service Operator collects the information in this form for the purpose of updating the information it holds about me. Any personal information provided in this form will be handled in accordance with the Service Operator's privacy policy, available at [www.sfg.com.au/portfolio/privacy](http://www.sfg.com.au/portfolio/privacy).

**Please ensure that each linked account holder (including yourself) completes and signs this form, and that each account holder has read and understood the terms and conditions of this form and the information in the relevant PDS or Offer Document.**

**Please complete these instructions in BLACK INK using CAPITAL LETTERS and ✓ boxes where provided.**

### Linked account

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<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"/>		

**Declaration:** I have read the current PDS and/or Offer Document, 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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<sup>1</sup> Shadforth Portfolio Service products include: Shadforth Portfolio Service - Super, Shadforth Portfolio Service - Pension and Shadforth Portfolio Service - Investment.



## Linked account

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<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"/>		

**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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## Linked account

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<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"/>		

**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](mailto:portfolioservice@sfg.com.au)

**Telephone:** 1800 931 792

**Trustee/Service Operator:** IOOF Investment Management Limited | ABN 53 006 695 021 | AFS Licence No. 230524.

# Contact us

## Postal address

Shadforth Portfolio Service  
GPO Box 264  
Melbourne VIC 3001

## Telephone

1800 931 792

## Email

[portfolioservice@sfg.com.au](mailto:portfolioservice@sfg.com.au)

## Website

[portfolio.sfg.com.au](http://portfolio.sfg.com.au)

## Service Operator

IOOF Investment Management Limited  
ABN 53 006 695 021  
AFS Licence No. 230524

## Registered address

Level 6, 161 Collins Street  
Melbourne VIC 3000

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](http://portfolio.sfg.com.au)

