

# Shadforth Portfolio Service

23 March 2020

## Switching Instruction

- **Shadforth Portfolio Service – Super**
- **Shadforth Portfolio Service – Pension**
- **Shadforth Portfolio Service – Investment**

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

Use this form to:

- switch between existing investment options or
- change your Standing Instructions.

Please note that when changing investment options you will not necessarily have the most recent product disclosure statement for that investment option and accordingly may not have information about material changes and significant events affecting that investment option. You can obtain a product disclosure statement from [portfolio.sfg.com.au](http://portfolio.sfg.com.au) or your licensed financial adviser.

Account number

## Step 1: Client details

### Part A – Individual Investor

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

### Part B – Self Managed Superannuation Fund

Name of Entity/Company/ Corporate Trustee	<input type="text"/>
Name of Trust	<input type="text"/>

## Step 2: Pending transactions

To provide you with an efficient service we will not wait for pending transactions to complete before we process your instructions. If you have a pending transaction (a redemption or purchase) currently in progress at the time we receive new instructions (Step 3: Investment redemptions or Step 4: Investment purchases) it may result in a variance to your instruction and your request may not be fully completed. This may result in a balance remaining in an investment where you intended to redeem 100%.

By ticking the box below you can instruct us to wait for all pending transactions on investment options included in your new instructions to complete before we process your instructions.

I acknowledge my request will not be actioned until all pending transactions on investment options included in my new instructions are completed.

# Step 3: Investment redemptions

## Managed investment options

Please specify either a percentage, unit or dollar allocation. Unless otherwise stipulated, we will process the switch as a dollar value. If you wish to sell a specific asset and use the proceeds to purchase another asset, indicate this by placing corresponding numbers in the boxes provided. When not specified, we will sell all assets detailed in Step 3 and use the proceeds as per the instructions in Step 4.

**Please note:** Your Deposit Instruction and Cash Account preferences will not be automatically updated to reflect the purchase or redemption of a managed investment option from your account. If you want to change your Deposit Instruction and/or Cash Account preferences, please ensure you complete Steps 5 and 6 respectively.

No	APIR code <sup>1</sup>	Investment option	\$ or units (please specify) of investment option	OR	% of investment option
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
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<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
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<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
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<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>

<sup>1</sup> Refer to the **Shadforth Portfolio Service investment guide** list for available APIR codes. This is available from your licensed financial adviser, our website or by contacting Shadforth ClientFirst.

**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"/>

**Please note:** Whilst you can enter a dollar amount, the trade will always be converted to units so the amount requested may be more or less.

**Step 4: Investment purchases**

**Managed investment options**

Please specify either a percentage, unit or dollar allocation to be invested as a result of the Investment Redemptions in Step 3. Unless otherwise stipulated, we will process the switch as a dollar value.

**Please note:** Your Deposit Instruction and Cash Account preferences will not be automatically updated to reflect the purchase or redemption of a managed investment option from your account. If you want to change your Deposit Instruction and/or Cash Account preferences, please ensure you complete Steps 5 and 6 respectively.

No	APIR code <sup>2</sup>	Investment option	\$ or units (please specify of investment option)	OR	% of investment option
<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"/>
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<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"/>
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<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"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>

<sup>2</sup> Refer to the **Shadforth Portfolio Service investment guide** list for available APIR codes. This is available from your licensed financial adviser, our website or by contacting Shadforth ClientFirst.

### 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"/>

**Please note:**

- These investments cannot form part of your Standing Instructions.
- If additional investments and/or listed investments are required, attach a separate signed sheet.
- Whilst you can enter a dollar amount, the trade will always be converted to units so the amount requested may be more or less.

### 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 5: Deposit Instruction

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%.
- For a full list of investment options available for selection within Shadforth Portfolio Service go to our website to view 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 4 to specify these instructions.

APIR Code	Investment option	Allocation (%)
	Cash Account (Mandatory)	
<b>Total (must = 100%)</b>		

## Step 6: 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% (default option)**

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 Trustee / 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.
- Restricted investments, capital guaranteed income/pension investments, term deposits and listed investments cannot form part of redemption instruction – percentage.
- Model Portfolio Service (MPS) assets cannot be selected as investments for redemption. However, where all managed investments have been sold down, Cash Account top-up may draw down from the Model Portfolio Service Cash.

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

## Step 7: Income preferences

I direct the Trustee / 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.

**Please note:** Model Portfolio Service (MPS) asset income distributions are excluded from Income preferences.

## Step 8: Client declaration and signature(s)

**Important note:** The Trustee / Service Operator collects the information in this form in order to process your investment instructions.

Any personal information provided in this form will be handled in accordance with the Trustee / Service Operator's privacy policy, available at [www.sfg.com.au/portfolio/privacy](http://www.sfg.com.au/portfolio/privacy).

If you do not provide all of the requested information we may not be able to action your request.

- **Managed investments** – I confirm that all investment information, including the objectives and relative risk of each of the strategies, has been made available to me. I am fully informed of the range of investment strategies that can be chosen and the circumstances in which they can be changed.
- **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 Trustee / Service Operator will effect it according to the terms and conditions within the Product Disclosure Statement / Offer Document.
- **Fixed rate/fixed term investments** – I understand these investments are fixed term and penalties will be incurred if terminated prior to maturity.
- I also acknowledge these assets will be held in the name of the custodian, Australian Executor Trustees Limited ABN 84 007 869 794 AFSL 240023.
- I consent that where I have chosen an investment with a long withdrawal period (illiquid investments) or there are delays receiving proceeds from selling my investments, any withdrawal or transfer request may be delayed for more than 30 days.
- I understand that the Trustee / Service Operator may, in its discretion, sell illiquid investments, listed investments and fixed rate/fixed term investments to fund pension payments (if applicable) and restore Cash Account levels.
- I confirm that I have received and considered the product disclosure statement for each of the investment options selected.
- I consent to the collection and use of the above information by the Trustee / Service Operator for the purposes specified in the Product Disclosure Statement / Offer Document.

**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  
Reply Paid 264, Melbourne VIC 8060
- Email:** [portfolioservice@sfg.com.au](mailto:portfolioservice@sfg.com.au)
- Telephone:** 1800 931 792
- Web:** [portfolio.sfg.com.au](http://portfolio.sfg.com.au)