# **Application Form**

#### **Portfolio Service**



This application form is part of the Freedom of Choice Portfolio Service IDPS Guide (IDPS Guide)

- The IDPS Guide contains information about investing in the Freedom of Choice Portfolio Service. You should read the IDPS Guide before applying.
- A person who gives another person access to the Application Form must at the same time and by the same means give the other person access to the IDPS Guide.
- · A copy of the IDPS Guide and the Application Form is available on request without charge.

# **Section 1: Introduction**

Only complete the sections relevant to you, as indicated below:

Select one	Account type	Sections to complete	Identification requirement groups to complete
	Individual(s)	1, 2, 7, 8	Group A
	Partnership	1, 3, 7, 8	Group A & B
	Trust/Superannuation fund with individual trustee(s)	1, 2, 4, 7, 8	Group C or D, & E
	Trust/Superannuation fund with corporate trustee	1, 4, 5, 7, 8	Group C or D, & E
	Company	1, 5, 7, 8	Group F, G or H
	Power of attorney or agent	The sections relevant to the account type noted above <b>plus</b> 6	Group I

If you are an association, co-operative, government body or other type of entity not listed above, please contact Client Services on 1800 806 013 or via email enquiries@freedomofchoice.com.au.

# Section 2: Individual(s) or individual trustee(s)

Complete this section if you are investing in your own name or as an individual trustee.

#### For anti-money laundering (AML) documentation requirements please refer to page 11.

## 2.1 Type of investor

Tick one box only and complete the specified parts of this section.

Individual - complete 2.2	Sole trader - complete 2.2 and 2.4
Jointly with another individual(s) - complete 2.2, 2.3 and 2.5	Individual trustee for an individual – complete 2.2, 2.3 and 2.5 (if there is more than one individual trustee)
Individual Trustee for a Trust - complete 2.2 and 2.3 (also complete Section 4)	there is more than one marviadal trustee)

#### 2.2 Investor 1 (individual account holder, first joint investor, sole trader, director, individual trustee, partner 1)

Surname:				Salutation:	
Given name(s):					
Date of birth (DDMMYYYY):		Country of birth:			
Telephone number (+ country code):		Email:			
Tax file number (TFN or exemption code:	1)	Reason for TFN exempt	ion:		
Residential address (not a PO Box):					
Town/suburb:		State:	Postcode:	Count	ry:
Occupation:					

organisation or are	you an immediate family mer	nber or a business assoc	late of such a person?		
No	Yes, please give details:				
Please answer both	tax residency questions:				
Are you a tax reside	nt of Australia?	Yes No			
Are you a tax reside	nt of another country?	Yes No			
	lent of a country other than A pnd joint investor, director,				
Surname:				Salutation:	
Given name(s):					
Date of birth (DDMMYYYY):		Country of birt	:h:		
Telephone Number (+ country code):		Email:			
Tax file number (TFI or exemption code:	N)	Reason for TFN 6	exemption:		
Residential address (not a PO Box):					
Town/suburb:		State:	Post code:	Country:	
Occupation:					
	iinent public position or funct you an immediate family mer			ational or foreign) or in an intern	ational
No Y	'es, please give details:				
Please answer both	tax residency questions:				
Are you a tax reside	nt of Australia?	Yes No			
Are you a tax reside	nt of another country?	Yes No			
If you are a tax resid	lent of a country other than A	Australia, we will follow up	o for further information.		
2.4 Sole trader deta	ails				
Business name (if applicable, in full):					
Australian business number (ABN):					
Street address:					
Town/suburb:		State:	Post code:	Country:	
2.5 Signing author	ity				
Please tick to indica	te signing requirements for fu	uture instructions (e.g. wi	thdrawals, change of acc	count details, etc)	
Only one inve	estor required to sign		All investors must s	ign	
Section 3: Par	tnerships				
Complete this section	on if you are investing for a pa	artnership or as a partne	r.		
For AML docume	ntation requirements pleas	e refer to page 11.			
3.1 General informa	ation				
Full name of partners	ship:				
Registered business of partnership (if an					
Country where partr is established:					
Tax file number (TFI	V) or	Reaso	on for TFN		

exemption:

Do you hold a prominent public position or function in a government body (local, state, territory, national or foreign) or in an international

exemption code:

Is the partnership regulated	by a professional association?
	ails (need only give information below for partners with a 25% or greater interest or, if there are no such partners,
Name of professional association:	
Membership details:	
No, provide number o	partners:
Section 4: Trust / Su	perannuation fund
Complete this section if you	are investing for a trust or superannuation fund.
For AML documentation	equirements please refer to page 11.
4.1 General information	
Full name of trust or superannuation fund:	
Full name of business (If any):	
Country where trust Is established:	
Tax file number (TFN) or exemption code:	Reason for TFN exemption:
4.2 Trustee details	
Number of trustees:	
Individual - trustee(s	must complete Section 2 of this form
Company - trustee(s)	must complete Section 5 of this form
Combination - truste	e(s) from each investor type must complete the relevant section of this form
4.3 Type of trust	
Registered managed	investment scheme
Australian Registered Scheme Number (ARSN):	
Regulated trust (incl	ding self-managed superannuation funds and registered charities that are trusts)
Name of regulator (e.g. ASIC, APRA, ATO, ACNC):	
Australian Business Number (registration licensing details:	BN) or
Please proceed to Section !	
Other trust (unregula	ed) (also complete Section 4.4)
Please describe:	
<b>4.4 Beneficiaries of an unr</b> Complete Section 4.4 and 4. Does the trust deed name b	only if you ticked 'Other Trust' in 4.3
<b>Yes</b> - How many?	
Provide the full name of eac	beneficiary who directly or indirectly is entitled to an interest of 25% or more in the trust:
1.	2.
3.	4.

**No** - Describe the class of beneficiary (e.g. the name of the family group, class of unit holders, the charitable purpose of charity name):

# $\textbf{4.5} \ \textbf{Beneficial owners and other persons of interest in an unregulated trust}$

Please provide the **full name** of any beneficial owner of the trust.

A beneficial owner is any individual who directly or indirectly has a **25% or greater interest** in the trust or a person who exerts **control over the trust**. This includes the **appointer** of the trust (who holds the power to appoint or remove the trustees of the trust. All beneficial owner(s) who meet the above definition will need to provide information and AML verification documents set out in Group A, F, G or H. Please provide beneficial owners as an attachment if there is insufficient space below:

1.			2.			
3.			4.			
Does any beneficial owner hinternational organisation or						eign) or in an
No Yes - Prov	ide details:					
Please provide the <b>full name</b> is not deceased:	e of the <b>settlor</b> of the trust w	here the initial a	sset contribution to	o the trust was gr	eater than \$10,000 an	id the settlor
Is the trust a tax resident of a	a country other than Australi	a? Yes	No			
If yes, we will follow up for fu	rther information.					
Section 5: Company	/ Corporate trustee	:				
Complete this section if you	are investing for a company	or where a com	pany is acting as a	trustee.		
For AML documentation r	equirements please refer t	o page 11.				
5.1 Company Type						
Australian listed public	company - complete 5.2					
Australian proprietary company or non-listed public company - complete 5.2 and 5.4						
Foreign company - co	mplete all sections					
5.2 Company details						
Company name:				ACN/ABN(if reg in Au	gistered ustralia):	
Tax file number (TFN) or exemption code:			on for TFN exemption:			
Name of contact person:						
Telephone number (+ country code):		Email:				
Registered office street address (not a PO Box):						
Town/suburb:		State:	Post code	e:	Country:	
<b>Principal place of business</b> (Note for non-Australian coplace of business in Australia	mpanies registered with A	<b>SIC:</b> You must p	rovide a local ager	nt name and addre	ess if you do not have	a principal
Tick if the same as abo	ove, otherwise provide:					
Registered street address (not a PO Box):						
Town/suburb:			State	e:	Post code:	

Tick if the company is	registered with ASIC					
Australian Registered Body Number (ARBN):						
Tick if the company is	registered with a foreign regu	ulatory body				
Name of foreign regulatory body:				Company ident number issued		
Country of formation, incorporation or registration:						
Company type (e.g. private company):						
Registered company address (not a PO Box):						
Town/suburb:		State:	Post code	2:	Country:	
5.4 Beneficial owners						
must provide the full name of	and controlling person: All of each senior managing official I over the company i.e. author	al and controlling pe	erson of the cor	mpany (such as t	he managing dire	ector or a senior
1.		2.				
3.		4.				
	ctors please provide as an atta					
	peneficial owners: All proprie nolder and those who owns di					
1.		2.				
3.		4.				
5.5 Does any beneficial own	reholders please provide as ar ner hold a prominent public p	osition or function				
or in an international orga	nisation or is the beneficial	owner an immedia	te family men	nber or a busine	ss associate of s	such a person?
No Yes - Prov	vide details:					
Is the company a tax resider	nt of a country other than Aus	stralia? Yes	No			
If yes, we will follow up for fu	ırther information.					
Section 6: Authoris	ed representative or	agent				
	are completing this Application Elevant to the investor/application				as a power of att	orney. You must
For AML documentation r	equirements please refer to	page 12.				
6.1 Appointment of power	of attorney or other authori	sed representative	e			
I am an agent under p	oower of attorney or the inves	tor's legal or nomin	ated representa	ative - complete 6	5.2	
Full name of authorised representative / agent:			Title of ro with app			
Signature:					Date:	
6.2 Documentation						
	nority such as a power of attor	rney, guardianship c	order, grant of p	orobate, appointn	nent of bankrupt	cy trustee etc:
The document is an o	riginal or certified copy					
The document is signe	ed by the applicant / investor	or a court official				
The document is curre	ent and complete					
The document permit	s the attorney / agent / repres	sentative (you) to tra	ansact on beha	ılf of the applican	t / investor	

5.3 Additional details for non-Australian company

# **Section 7: Account Instructions (all investors MUST complete)** 7.1 Investor contact details Contact person: Telephone number: Email: Postal address: Town/suburb: State: Post code: Country: 7.2 Initial investment amount The minimum initial investment in the Service is \$5,000 Amount to be deposited: including transferred investments 7.3 Regular investment plan (if applicable) Initial deposit to open the The minimum initial investment for this option in the Service regular investment plan is: is \$2,500 including transferred investments Regular investment amount: \$ Frequency of regular investment plan: Quarterly (Mar, Jun, Sep, Dec) Half year (Jun, Dec) Annually (Jun) Note: The total annual minimum contribution is \$1,200. You must also complete a Direct Debit Request Form. 7.4 Regular income plan (if applicable) Regular income amount: Frequency of regular income plan: Monthly Quarterly (Mar, Jun, Sep, Dec) Half year (Jun, Dec) Annually (Jun) Account name (must match Applicant name): Financial institution: Branch: BSB: Account number: 7.5 Gearing facility (if applicable) Borrowing arrangements have been made with a lender in respect of this application The amount to be borrowed is: \$ Note: Further documentation will be required and the application may be subject to further terms and conditions as may be required by my

nominated lender.

## 7.6 Purpose of investment and source of funds

Please outline the purpose of investment (e.g. superannuation, portfolio investment, etc):

Please outline the source/s of initial funding and anticipated ongoing funding (e.g. salary, savings, business activity, financial investments, real estate, inheritance, gift, etc and expected level of funding activity or transactions):

# **Section 8: Target market assessment**

The target market determination (TMD) for Freedom of Choice products can be found at freedomofchoice.com.au/target-market-determinations and includes a description of who the product is appropriate for, based upon the characteristics of the product, and the likely investment objectives, financial situation and needs of the consumer that each product had been designed to meet.

Products available through Freedom of Choice will also have their own TMD. A consumer must refer to the TMD and relevant disclosure documents when deciding if these products are suitable for them.

Please answer the following questions so that we can meet our regulatory obligations to take reasonable steps to ensure our products are distributed in line with those TMDs.

Whic	Which of these investment goals best describes your primary investment objective?					
	Capital growth	Capital pres	servation	Capital guaranteed	d	Income distribution
Whic	ch of these statements I	oest describes h	ow long you expec	t to remain invested in t	his product and	selected investment options?
	Short term (less than 2	years)	Medium teri	m (between 2 and 8 year	rs)	Long term (more than 8 years)
Whic	ch of these statements I	oest describes y	our attitude to inve	stment risk, ability to bea	ar loss, and retur	n?
	Low (Unwilling to see	a reduction in va	lue of investment	even in the short term. R	isk of loss is low	as is corresponding return.)
	Medium (Unwilling to see a reduction in the value of investment in the medium term, willing to accept some risk in the short term compensated with a higher return.)					
	High (Seeking a high return from investment over the long term, willing to see a reduction in short to medium term compensated with a higher return.)					
Very high (Seeking to maximise returns and are willing to accept periods of investment losses over the lifetime of your investment. You are willing to accept the risk that can derive from the use of aggressive investment strategies such as investment in alternative assets,						
	derivatives or from the use of leverage.)					
Whic	Which of these statements best describes how long you expect withdrawals to take from the product?					
	Daily Wee	kly	Monthly	Quarterly	Annually or	longer

# **Section 9: Signatures**

#### **Declarations by applicant (all Investors MUST complete)**

When you sign this Application Form you declare that you have read and agree to the declarations below in addition to the *Declarations by applicant* detailed in the Freedom of Choice Portfolio Service IDPS Guide.

#### General

- I/We have been provided a copy and have read and understood the Freedom of Choice Portfolio Service IDPS Guide including any conditions or limitations relating to the investment in the Service or its investment options.
- The information I/we have provided in this form is true and correct.
- I/We acknowledge the important warning about the differences between direct and indirect investment on page 25 of the Freedom of Choice Portfolio Service IDPS Guide.
- I/We acknowledge that by investing through the Service, I/we do not have access to some of the rights and entitlements that would otherwise be available to me/us as a retail investor if I/we invested in the underlying financial products directly. I/we understand that this includes not having the same rights as direct retail investors or not having access to cooling-off rights, withdrawal rights and voting rights (page 25 of the Freedom of Choice IDPS Guide).

#### **Personal information**

- I/We acknowledge that I/we have read and understood the Privacy Statement described in the Freedom of Choice Portfolio Service IDPS Guide.
- I/ We acknowledge that I/we have read and understood the information about quotation of tax file numbers contained in the Freedom of Choice Portfolio Service IDPS Guide.

Please note: If you choose not to appoint a financial adviser you will still have access to the product and its online technology and you can directly give instructions to the Operator. You will not however have the benefit of the adviser's professional assistance in selecting your investments.

#### **Gearing facility**

• I/ We understand that further documentation will be required and that my/ our account may be subject to further terms and conditions as may be required by my nominated lender.

#### Self certification

• I/We undertake to provide a suitably updated self-certification within 30 days of any change in circumstances which causes the information contained herein to become incorrect.

#### **Applicant 1** Full name: Capacity: Individual Director Partner Trustee Authorised signatory Signature: Date: **Applicant 2** Full name: Individual Director Partner Trustee Authorised signatory Capacity: Signature: Date:

# **Application checklist**

- Have you completed all sections relevant to you (as set out in the introduction)?
  - Have you completed all other relevant details and SIGNED the Application Form?

If you can tick all of the boxes above, send the following:

- Completed Application Form;
- · Certified copies of identification documents;
- A cheque made payable to 'Freedom of Choice' and marked 'Not negotiable' (unless you are paying by direct debit, electronic funds transfer etc.).

by post to: Freedom of Choice PO Box 3528 Tingalpa DC QLD 4173

If you have any enquiries, please contact Client Services on 1800 806 013 Australia-wide.

Please note that no taxation, investment or financial product advice will be provided when you call the contact number above. It is strongly recommended that you speak to a financial adviser before investing in this Service.

# **AML Identity verification requirements**

The AML/CTF Act requires the Operator to adopt and maintain an anti-money laundering and counter-terrorism financing (AML/CTF) program. The AML/CTF program includes ongoing customer due diligence, which may require the Operator to collect further information.

- Identification documentation provided must be in the name of the Applicant.
- Non-English language documents must be translated by an accredited translator.
- · Applications made without providing this information cannot be processed until all the necessary information has been provided.
- If you are unable to provide the identification documents described please contact Client Services on 1800 806 013 or via email enquiries@freedomofchoice.com.au.

We require original certified copies of identification documents and the original signed application form.

	entinication documents and the original signed application form.				
GROUP A - Individuals					
Each individual investor, individual trustee, partner, beneficial owner, or individual agent or authorised representative must provide one of the following primary photographic ID:					
A current Australian driver's licence (or foreign equivalent) that includes a photo and signature					
An Australian passport (not expired	more than 2 years previously)				
An identity card issued by a State or	Territory Government that includes a photo				
photograph and signature	d by a foreign government or the United Nations (UN) (or an agency of the UN) that includes your				
<del>                                   </del>	documents, please provide one valid option from Column A and one valid option from Column B.				
Column A	Column B				
Australian birth certificate  Australian citizenship certificate	A document issued by the Commonwealth or a State or Territory within the preceding 12 months that records the provision of financial benefits to the individual and which contains the individual's name and residential address.				
Pension card issued by Department of Human Services (previously known as Centrelink)	A document issued by the Australian Taxation Office within the preceding 12 months that records a debt payable by the individual to the Commonwealth (or by the Commonwealth to the individual), which contains the individual's name and residential address. Block out the TFN before scanning, copying or storing this document.				
	A document issued by a local government body or utilities provider within the preceding 3 months which records the provision of services to that address or to that person (the document must contain the individual's name and residential address).				
	If under the age of 18, a notice that: was issued to the individual by a school principal within the preceding 3 months; and contains the name and residential address; and records the period of time that the individual attended that school.				
GROUP B - Partnerships					
	or at least one partner and each beneficial owner of the Partnership and one of the following:				
A certified copy or certified extract of					
,	xation Office (ATO) within the last 12 months.				
An original or certified copy of a cer	tificate of registration of business name issued by a government agency in Australia.				
A certified copy or certified extract of	of minutes of a partnership meeting.				
All the above must show the full name of	f the partnership.				
	ment Scheme, Regulated Superannuation Fund (including a self- managed super fund), trust registered with the Australian Charities and Not-for-profit Commission (ACNC)				
Provide one of the following:					
A copy of the company search of th	e relevant regulator's website e.g. APRA, ASIC or the ATO.				
A copy or relevant extract of the leg	islation establishing the government superannuation fund sourced from a government website.				
A copy from the ACNC of informatic	on registered about the trust as a charity.				
All the above must show the Trust's full r (including a self- managed super fund) o	name and type (i.e. registered managed investment scheme, regulated superannuation fund r government superannuation fund).				
GROUP D - Other Trusts (unregulated)					
_	or each beneficial owner of the trust who is directly or indirectly entitled to benefit from a 25% or greater Trust, one of the following:				
A certified copy or certified extract of					
Annual report or audited financial st					
· ·					
Signed meeting minutes.	A certified copy of a notice issued by the ATO within the previous 12 months.  Signed meeting minutes				
ŭ ŭ	f the Trust, its trustees, the appointer (the person authorised to appoint or remove trustees) and the				

settlor of the Trust (if any).

GROUP E - Trustees
If you are an <b>Individual trustee</b> - please provide the identification documents listed under Group A.
If you are a <b>Corporate trustee</b> - please provide the identification documents listed under Group F, G or H.
If you are a <b>combination</b> of both - please provide the identification documents for each investor type listed under Group A and F, G or H.
GROUP F - Regulated Australian companies
Provide one of the following:
A copy of information regarding the company's licence or other information held by the relevant Commonwealth, state or territory regulatory body e.g. AFSL, RSL, ACL etc.
If the company is listed on an Australian securities exchange, provide details of the exchange and the ticker (issuer) code.
If the company is a majority owned subsidiary of a company listed on an Australian securities exchange, provide details of the exchange and the ticker (issuer) code for the holding company.
An annual statement from ASIC issued in the previous 12 months; or
A full company search issued in the previous three months; or
A certificate of company registration.
All of above must clearly show the company's full name, its type (i.e. public or proprietary) and ACN.
GROUP G - Other Australian companies (unregulated)
Provide Group A verification documents for each beneficial owner (including any shareholder who directly or indirectly owns or controls 25% or more the issued capital, and such documents about the senior managing official(s) who exerts control over the company), <b>and</b> in relation to the unregulated company, one of the following:
An annual statement from ASIC issued in the previous 12 months; or
A full company search issued in the previous three months; or
A certificate of company registration.
All of above must clearly show the company's full name, its type (i.e. public or private) and ACN issued to the company.
GROUP H - Other Australian companies (unregulated)
Provide Group A verification requirements for each beneficial owner (shareholder(s) who directly or indirectly owns or controls 25% or more the issued capital and information about the senior managing official(s) who exerts control over the company, <b>and</b> in relation to the foreign company, one of the following:
A certified copy of the company's certificate of registration or incorporation issued by ASIC or the equivalent issued by the foreign jurisdiction's in which the company was incorporated, established or formed.
A certified copy of the company's articles of association or constitution.
A copy of a company search on the ASIC database or relevant foreign registration body. The company search from a foreign regulator must include the name of the regulator, the name of the company and the foreign registration number.
All of above must clearly show the company's full name, its type (i.e. public or private) and the ARBN issued by ASIC, or the identification number issued to the company by the foreign regulator.
GROUP I - Agents and authorised representatives
If you are an <b>individual agent or representative</b> - please provide the identification documents listed under Group A.

A copy or relevant extract of the legislation establishing the government superannuation fund sourced from a government website.

All agents and authorised representatives must also provide a certified copy of their authority to act for the investor e.g. the POA, guardianship order, executor or administrator of a deceased estate, authority granted to a bankruptcy trustee, authority granted to the State or Public Trustee etc.

## **Additional information**

In most cases the information that you provide in this form will satisfy the AML/CTF Act, the United States Foreign Account Tax Compliance Act ('FATCA') and the Common Reporting Standards ('CRS'). However, in some instances the Operator may contact you to request further information. It may also be necessary for the Operator to collect information (including sensitive information) about you from third parties in order to meet its obligations under the AML/CTF Act, FATCA and CRS.