

Adviser Registration Form



Please send completed applications to:
OneVue UMA
Reply Paid 1926, ROYAL EXCHANGE, NSW 1224

USE THIS FORM

- If you wish to apply to be registered as an Adviser to use the OneVue UMA, to use and access the OneVue Platform and to promote the OneVue UMA Products and Services (as defined) and be authorised by your Dealer Group described below; or
- If you are a registered Adviser wishing to delegate trading authority to new or existing staff logins.

1. Contact details

Title First name Surname

Full company name

Australian Business Number (ABN)

Street address

Town or suburb State Postcode

Postal address (if different to street address)

Town or suburb State Postcode

Main office number Fax

Direct office number Mobile

Your email

Office email

Your Skype account (if applicable)

2. Dealer Group details

Dealer Group name

Dealer Group ABN

Dealer Group AFSL number

ASIC Authorised Representative number

Corporate Authorised Representative (CAR) or Adviser Office

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

3. Margin lending, SMSF administration, Term deposit hub

If your clients will require access to any of the following services, please tick the appropriate boxes below to enable daily data feeds.

- Margin lending via Leveraged Equities
- Term deposit hub via Australian Money Market Pty Ltd
- Self managed super administration via Justsuper

By ticking the boxes above you will not need to register separately with these companies.

4. EPI Data Feeds

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

- Xplan
- Coin
- Visiplan

5. Broker Services

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

6. Delegation of authority (if applicable)

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

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

7. Terms and conditions

Background

OneVue Limited ABN 18 072 262 312 ("OneVue") has granted your Dealer Group the right to access and use OneVue UMA and the OneVue UMA Platform and to market and promote the OneVue UMA Products and Services on terms recorded in a Dealer Agreement between them ("the Dealer Agreement").

Australian Market Automated Quotation (AUSMAQ) System Limited ABN 53 062 527 575 ("AUSMAQ") has granted OneVue a non-exclusive right to promote and market the OneVue Wholesale Managed Funds Service on terms recorded in an agreement between them ("the AUSMAQ Promoter/Services Agreement").

If applicable, all remuneration will be paid into the nominated bank account of your Dealer Group at the rate specified on the application form for each client introduced to OneVue.

You agree to:

Anti-Money Laundering

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

Administration

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

Indemnity

- indemnify OneVue against all losses, costs and expenses which are incurred through the negligence, fraud or

dishonesty of you and your employees, servants, agents or contractors and against any liability which may be suffered or incurred by OneVue arising out of any breach of any term of the Dealer Agreement or the AUSMAQ Promoter/Services Agreement caused by you, and any breach by you of this Agreement or any Service Guide, Product Disclosure Statement or Financial Services Guide issued in connection with the OneVue UMA Products and Services.

- release, discharge and indemnify OneVue against all liabilities that are suffered by you and your clients in respect of the use of the OneVue UMA Products and Services or inability to transact or use any of them.

General

You acknowledge that:

- you are responsible for any costs and expenses you incur when promoting the OneVue UMA Products and Services or performing your obligations under this agreement.
- any information given to you by OneVue in respect of your clients will be kept confidential by you and your staff. You must not use this information to market any other product to your clients or pass this information to any other party without your clients' written consent. If you cease to be the Adviser of a client you must destroy all information provided to you by OneVue in respect of that client except as required under relevant law, or with the written consent of that client.
- you consent to OneVue passing on information about you (including, without limitation, your name, mailing address and payment details) to related bodies corporate and other service providers for the purpose of administering the OneVue UMA Products and Services.
- you cannot assign or novate your rights or obligations under this agreement without the prior written consent of OneVue.

- OneVue may suspend access to the OneVue UMA Platform and the OneVue UMA Products and Services or cancel the ability to transact at their absolute discretion any time and without notice.
- notices and direction under this Agreement must be given in writing (whether original facsimile, email or other electronic method) and addressed to the Registered Agent or OneVue's Chief Executive Officer.
- OneVue may vary these terms and conditions at any time.
- this agreement is governed by the laws in force in New South Wales. All parties submit to the non-exclusive jurisdiction of the courts of New South Wales.

You agree to:

OneVue UMA Products and Services

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

Nominated Representative

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

You acknowledge and agree that:

General

- your clients can change advisers and that your participation as a Registered Agent can be terminated at any time without cause.
- OneVue will not be responsible to report on, police or supervise your obligations to any client or under the Corporations Act 2001.
- instructions can be halted at any time and without notice to you should OneVue not be reasonably satisfied that a current Service Guide, Product Disclosure Statement, Financial Services Guide or other relevant information has been provided to your client.

Delegated authority

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

employment with the Company and immediately notify OneVue in writing of such revocation and termination.

You acknowledge and agree that OneVue :

- o is entitled to reasonably rely on and act upon instructions received from a client, an Adviser or any of the Authorised Employees without any obligation to check their accuracy or correctness or whether or not they are genuine, and
- o is not liable for acting on any instruction given in accordance with this clause including any instruction which contains any error or ambiguity.
- o is not responsible for any delays or errors in effecting instructions, where such delays and errors are caused by a technical fault in respect of any electronic interface (including the OneVue UMA Platform and any website associated with the OneVue UMA Products and Services)

Definitions

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

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

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

Online Order Pad means the electronic interface by which orders for shares and securities can be placed to transact in the OneVue UMA Products and Services.

OneVue means OneVue Limited ABN 18 072 262 312.

OneVue UMA means the consolidated reporting, administration and tax reporting investment service which gives investors a single online view of their total portfolio and enables financial advisers to transact and manage an investor's entire portfolio through a single online facility WHICH comprises the OneVue UMA Products and Services with access to the OneStep SMSF Service or other SMSF administrators a panel of approved brokers and the Term Deposit Hub AND WHICH is delivered using the OneVue Platform.

OneVue UMA Products and Services means:

- the suite of financial and administration products and services owned and operated by OneVue including; OneVue Separately Managed Account, OneVue Other Assets and Liabilities Service, OneVue's OneStepSMSF Service, WealthVue, the Term Deposit Hub and such other products and services as OneVue may from time to time launch, promote and market.
- OneVue Wholesale Managed Funds Service, which is issued by AUSMAQ.
- OneStep SMSF which is promoted by OneVue and administered by Justsuper Pty Ltd ACN 132 651 220 and other SMSF administrators with support via the BGL Portal being the online software application owned by BGL Corporate Solutions Pty Limited ACN 054 355 243 known as Portal by BGL.
- the Term Deposit Hub which is provided to OneVue by Australian Money Market Pty Limited ABN 56 126 032 755
- All of which products and services are delivered by OneVue using the OneVue UMA Platform.

8. Adviser acknowledgement and signature

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

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

Adviser signature

Adviser name

 / /

Adviser signature

Adviser name

 / /

9. Dealer Group acknowledgement

By signing this form the Dealer Group acknowledges that:

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

Signature - Dealer group representative

 / /

Please print name

Signature - Dealer group representative

 / /

Please print name

Office Use Only	
Promoter	
Dealer Group Code	
Adviser Code	
Complete	



INVESTMENTS AND ADMINISTRATION

Desktop Broker

Adviser Access details

Username (8-15 characters alphanumeric)
Keyword (eg. Mother's maiden name. Min. 4 characters)

Acknowledgement

By completing this application process, you:

- Acknowledge that you are an authorised representative of the AFSL holder whose details you submitted in this application process.
 - Agree that you will not do anything that would or may cause the AFSL holder to be in breach of its contractual arrangements with Desktop Broker.
 - Acknowledge that you have read and agree to abide by the Desktop Broker Terms and Conditions and agree to not do anything that would or may cause you or any of your clients to breach these Terms and Conditions.
 - Acknowledge that you have read and agree to abide by our Privacy Policy
 - Acknowledge that if Desktop Broker forms the view that you have failed or may fail to comply with any of the matters set out above that Desktop Broker may, amongst other remedies available to it, and in its sole discretion, terminate your access to the Desktop Broker platform.
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Signed:

Authorised Representative

Date

Name

Licensee Authorising Officer

Date

Name

Please provide a valid copy of your drivers licence with your application

Link to an existing adviser

To link your account to an associate's Desktop Broker account which will enable you to view and trade using their client accounts, please enter their name, and ensure they sign to acknowledge.

Please link my account with the representative listed below:

Authorised Representative

Date

Name

If you have any questions please contact customer support at support@desktopbroker.com.au or on 1300 726 177

Administration note: this document must be printed single-sided as the pages will be sent to different parties

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Lonsec Broking

Adviser Access details

Username (8-15 characters alphanumeric)
Keyword (eg. Mother's maiden name. Min. 4 characters)

Acknowledgement

By completing this application process, you:

- Acknowledge that you are an authorised representative of the AFSL holder whose details you submitted in this application process, and that you have the appropriate authorisations to deal and advise in ASX Listed Equities.
- Agree that you will not do anything that would or may cause the AFSL holder to be in breach of its broker service agreement with Lonsec Limited ("Lonsec").
- Acknowledge that you have read and agree to abide by the Lonsec Limited Broker Terms and Conditions and agree not to do anything that would or may cause you or any of your clients to breach these Terms and Conditions.
- Acknowledge that you have read and agree to abide by our Privacy Policy.
- Acknowledge that if Lonsec forms the view that you have failed or may fail to comply with any of the matters set out above that Lonsec may, amongst other remedies available to it, and in its sole discretion terminate your access to Lonsec's broking service.

Signed:

Signed:

Authorised Representative

Licensee Authorising Officer

Date

Date

Name

Name

Link to an existing adviser

To link your account to an associate's Lonsec Broker account(s) which will enable you to view and trade using their client accounts, please enter their name, and ensure they sign to acknowledge.

Please link to my account with the representative listed below:

Signed:

Authorised Representative

Date

Name

If you have any questions please contact customer support at backoffice@lonsec.com.au or on 1800 649 518.

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