



# OneVue UMA

## Application Booklet

Issued 1 November 2011

### How to Complete

Under legislation introduced by the Commonwealth Government in 2006 (the Anti-Money Laundering (AML) and Counter Terrorism Financing (CTF) Act) investors are required to meet identification and verification requirements. Where an investment is made via a financial adviser OneVue will, in accordance with the AML legislation, rely upon the financial adviser to verify the identity of the investor. If your identity has not been verified by your Adviser you will need to provide this information. The details of those requirements are contained in the last column of the table below.

This table will also assist you in completing your application form correctly by specifying how the account name should be registered, depending on the account type.

Account type	Who signs	Name account must be in	AML documentation required (see list below for further details)
Individual	The individual	The individual Use full name, e.g. Robert Peter Jones NOT R.P. Jones	Refer to requirements for individuals in the tables at the end of this guide.
Joint	All investors	Each individual investor Use full names - not initials, e.g. Robert Peter Jones and Jane Susan Jones	Refer to requirements for individuals in the tables at the end of this guide.
Deceased estate (Executor)	Executor (s)	The executors of the estate  Use the full name of the executor & provide the estate details with the name of the estate in Account Designation e.g. Robert Peter Jones <Estate of Margaret Emily Jones>	A certified copy of the Grant of Probate or Letters of Administration.  PLUS For Executor/s refer to requirements for individuals in the tables at the end of this guide.
Minors	Parent/Guardian	The trustees of the trust (the parent or guardian) e.g. Robert Peter Jones <John Robert Jones>	For the Parent/Guardian refer to requirements for individuals in the tables at the end of this guide.
Partnership or Association	The partners	The principals of the partnership or association, e.g. Robert Peter Jones and Mark Adam Jones <Jones Brothers>  Use partners or officers full names not the name of the business.	Copy of an extract of the partnership deed showing the names of the partners.  Copy of signed meeting minutes that show which officers can open and operate an account.  For Partners or Officers refer to requirements for individuals in the tables at the end of this guide.

Company or Incorporated Body	Two officers (eg directors or a director and secretary) as required by the constitution or rules of the company or body  OR  By one sole director for a sole director company	The full company name - not an abbreviation, e.g. Jones Plumbing Services Pty Ltd NOT Jones Plumbing Services	Company Identification Form.  Copy of Certificate of Incorporation or registration.  For Directors refer to requirements for individuals in the tables at the end of this guide.
Trustees of a Trust or Super Fund as Individuals	All trustees	The trustee/s of the trust  Use the full name of the trustee/s with the name of the trust or super fund in brackets, e.g. Robert Peter Jones <Jones Family Trust> NOT Jones Family Trust e.g. Robert Peter Jones and Mark Adam Jones <Jones Superannuation Fund>  Note: Applications in the name of the trust will not be accepted.	Trust Identification Form  Copy of an up-to-date extract of the trust deed including pages which show: <ul style="list-style-type: none"> <li>• The trust name</li> <li>• The trustees' name(s)</li> <li>• The trustees' signature(s) with witness' signature</li> </ul> For Trustees refer to requirements for individuals in the tables at the end of this guide.
Corporate trust or super fund as companies	2 Directors, Sole Director or Director and Company Secretary	The corporate trustee e.g. Robert Jones Pty Ltd <Jones Superannuation Fund>  Note: Applications in the name of the trust will not be accepted.	Trust Identification Form  Copy of an up-to-date extract of the trust deed including pages which show: <ul style="list-style-type: none"> <li>• The trust name</li> <li>• The trustees' name(s)</li> <li>• The trustees' signature(s) with</li> <li>• witness' signature</li> </ul> PLUS  For Directors refer to requirements for Individuals in the tables below.

## Application Form Instructions

### 1. Products and Services

When opening a OneVue UMA account, an Other Assets & Liabilities Service account and a Separately Managed Account (SMA) will be opened. Please select any additional services you require from the list and complete appropriate Application Forms.

### 2. Type of Account

Please refer to the table on the previous pages for guidance about which application sections to complete.

### 3. Individual/Joint/Partnership/Deceased Estate/Minor

All applicants must complete their full name, date of birth, occupation and residential address.

Account Designation Section – if you would like to record a special purpose name on your account, you should complete the designation section. Please refer to table on the previous page for examples on how to complete for Deceased Estates and Minor accounts.

### 4. Company Investor

Company or other Incorporated Bodies – Insert name of Company, Incorporated Association or other Body, the ABN/ACN, type of company, nature of business, contact name, full registered office address or principal place of business.

You must provide the full names of all Directors and their security holding where greater than 25%. If more than two, please provide on a separate sheet.

### 5. Trusts and Superannuation Funds

Please supply full names of the Trust, Type of Trust, whether it is a Family, SMSF, Unit, Charitable or estate, ABN, Contact Name and Country where the trust was established.

You must provide the full names of all Trustees or Directors and members including dates of birth, occupation and residential address.

Please note that Superannuation Funds must be complying funds under the Superannuation Industry (Supervision) Act.

### 6. Contact details

Please specify mailing address and contact details for your OneVue UMA account.

### 7. Signing instructions for this account

For joint accounts, please nominate signing instructions. If you do not specify, the default is that all investors must sign instructions provided to OneVue.

For Company accounts, please indicate signing instructions. If you do not specify, the default is that all signatories must sign instructions provided to OneVue.

### 8. Related service accounts

#### Listed Securities

If you appoint your Adviser as your Nominated Representative in Section 15 and you require your Adviser to access the Listed Security facility on the Online Order Pad please provide details of your OneVue preferred Broker account. A separate application form for your preferred broker will need to be completed and signed.

#### SMSF Administrator

If you are opening a SMSF account and would like your SMSF Administrator to receive a data feed of your investment transactions and your Adviser to access your SMSF Financial Reports and documents please provide details of your SMSF Administrator. If your SMSF Administrator is unable to provide these details please speak to your Adviser for assistance.

### 9. Capital Gains Tax Parcel Details Notification

This table provides the individual holdings and parcel details you are transferring into OneVue UMA. It is important when establishing your OneVue UMA account that we are provided with complete, accurate and supported investment taxation history as part of your Portfolio Establishment process. The holdings and cost base information you provide is relied upon to calculate your CGT.

When establishing your account with existing investments you need to complete the table and elect which service these assets will be administered by:

1. SMA – You can transfer Listed Securities into your OneVue SMA account by completing the information for each parcel **and** writing SMA in the ‘Service’ column **and** nominating which SMA Model Portfolio you wish these securities to be transferred to:
  - a. Personally Directed Share Portfolio - your securities will be held in the Personally Directed Share Portfolio in a ‘locked’ status. When your Nominated Representative provides an instruction to sell the holding, then we will unlock the holding to facilitate the sell instruction.
  - b. Your nominated Professionally Managed Model Portfolio - where these securities may be sold to rebalance the new Model Portfolio you have selected.
2. Other Assets & Liabilities Service – Please complete the information for each parcel **and** write OAL in the ‘Service’ column. When you open a OneVue UMA account you will open an Other Assets & Liabilities Service account. Please note the SMA Model Portfolio Details column is not applicable. If you have all required Capital Gain Tax Parcel Details in a separate document then please attach this information to your Application Form.
3. UMA Wrap Service – you can transfer existing holdings of existing managed funds that are available through the UMA Wrap Service by completing the information for each parcel **and** writing WS in the ‘Service’ column. NB You cannot transfer existing managed funds if they are not available through the UMA Wrap Service menu.

Please complete all details including the Service to be used. **Important note:** if using the SMA Model Portfolio nomination and a Model Portfolio selection is not made then, we will allocate your Securities to your Personally Directed Share Portfolio and any other Asset will be allocated to your Other Assets & Liabilities Service account. Please use multiple copies of this notification section if necessary.

## 10. Investment Details

Please indicate how you will be providing your initial investment and the amount, you are investing.

If you are investing in the SMA by cheque please make your cheque payable to “OneVue Managed Account”.

If you are investing in the UMA Wrap Service by cheque, please make your cheque payable to “UMA Wrap Trust Account”.

If you are transferring (in-specie) Securities for your initial investment in the SMA you will also need to complete the Security Transfer Form at the back of the Application Form for Broker Sponsored or Issuer Sponsored holdings. Please ask your Adviser for assistance if you are unsure how your Securities are currently held.

Accounts will not be opened until a cheque, and/or Security Transfer Form/s or Direct Debit Authorisation have been provided. Please ensure cleared funds are available to avoid delay.

Please indicate the amount you wish to invest in each Model Portfolio (please estimate the value of your in-specie transfers).

Note: The minimum total investment is \$25,000 and the minimum per Model Portfolio is \$25,000.

If you are investing by direct credit we will provide our account and reference details in your welcome letter.

Complete Section 10(c) if you wish your Nominated Representative to provide us with Direct Debit and Additional Investment Instructions on your behalf.

## Direct Debit Terms and Conditions

Account means the account held at your financial institution from which we are authorised to arrange for funds to be debited.

Agreement means this Direct Debit Request Service Agreement between you and us.

Business day means a day other than a Saturday or a Sunday or a public holiday listed throughout Australia.

Debit day means the day that payment by you to us is due.

Debit payment means a particular transaction where a debit is made.

Direct debit request means the request to debit your account that you make to us.

We/us means OneVue Limited ABN 18 072 262 312 in relation to our accounts with Citibank (SMA) and Macquarie CMA (Wrap).

You/your means the client who signed the direct debit request by completing and signing the direct debit authorisation in Sections 10(a) and 10(b) of the Application form or a Direct Debit Request form.

Your financial institution is the financial institution where you hold the account that you have authorised us to arrange to debit.

### 1. Debiting your account

- 1.1. By signing a direct debit request, you have authorised us to arrange for funds to be debited from your account. You should refer to the direct debit request and this agreement for the terms of the arrangement between us and you.
- 1.2. We will only arrange for funds to be debited from your account as authorised in the direct debit request.
- 1.3. If the debit day falls on a day that is not a business day, we may direct your financial institution to debit your account on the following business day.

If you are unsure about which day your account has or will be debited you should ask your financial institution.

### 2. Changes by us

- 2.1. We may vary any details of this agreement or a direct debit request at any time by giving you at least fourteen (14) days’ written notice.

### 3. Changes by you

- 3.1. Subject to 3.2, you may change the arrangements under a direct debit request by giving us at least 14 days written

notice in accordance with 8.1.

- 3.2. If you wish to stop or defer a debit payment or cancel your authority for us to debit your account you must notify us in writing (14) days before the next debit day. This notice should be given to us in the first instance.

#### 4. Your obligations

- 4.1. It is your responsibility to ensure that there are sufficient clear funds available in your account to allow a debit payment to be made in accordance with the direct debit request.
- 4.2. If there are insufficient clear funds in your account to meet a debit payment:
- (a) you may be charged a fee and/or interest by your financial institution;
  - (b) you may also incur fees or charges imposed or incurred by us; and
  - (c) you must arrange for the debit payment to be made by another method or arrange for sufficient clear funds to be in your account by an agreed time so that we can process the debit payment.

#### 5.1 Dispute

- 5.1. If you believe that there has been an error by us in debiting your account, you should notify us directly and confirm that by notice in writing with us as soon as possible so that we can resolve your query more quickly.
- 5.2. If we conclude as a result of our investigations that your account has been incorrectly debited we will respond to your query by:
- (a) arranging for your financial institution to adjust your account (including interest and charges);
  - (b) Notifying you in writing of the amount by which your account has been adjusted; and
  - (c) providing you with reasons and any evidence for our finding.
- 5.3. Any queries you may have about an error made in debiting your account should be directed to us in the first instance so that we can attempt to resolve the matter between us and you. If we cannot resolve the matter you can still refer it to your

financial institution which will obtain details from you of the disputed transaction and may lodge a claim on your behalf.

#### 6. Accounts

You should check:

- (a) with your financial institution whether direct debiting is available from your account.
- (b) your account details which you have provided to us are correct by checking them against a recent account statement; and
- (c) with your financial institution before completing the direct debit request if you have any queries about how to complete the direct debit request.

#### 7. Confidentiality

- 7.1. We will keep any information (including your account details) in your direct debit request confidential. We will make reasonable efforts to keep any such information that we have about you secure and ensure that any of our employees or agents who have access to information about you do not make any unauthorised use, modification, reproduction or disclosure of that information.
- 7.2. We will only disclose information that we have about you:
- (a) to the extent specifically required by law; or
  - (b) for the purposes of this agreement (including disclosing information in connection with any query or claim).
- 7.3. We will collect, use and disclose any personal information in accordance with our Privacy Policy which is available on request.

#### 8. Notice

- 8.1. If you wish to notify us in writing about anything relating to this agreement, you should write to us at the address provided on the front of this form.
- 8.2. We will notify you by sending a notice in the ordinary post to the address you have given us in the direct debit request.

Any notice will be deemed to have been received two business days after it is posted.

## 11. UMA Cash Account

Please provide details of your Macquarie CMA (or other bank account) in this section. This account is the bank account which will be used for the purpose of collecting income, managing your investment expenses, fees, security settlements and processing SMSF transactions.

## 12. Adviser Service Fee

You may agree with your Adviser to be charged an ongoing Advice Fee. The fee is paid by the issuer of the service to your Adviser. Please refer to the relevant sections in Parts C & D of the UMA Service Guide.

## 13. Declarations & Signatures

By signing this Application Form, you are acknowledging that you have read Parts A and B of the OneVue SMA PDS and Parts C & D of the OneVue UMA Service Guide.

Each applicant (including joint applicants) must sign the application form. If you do not provide all the information requested on the application form, we may not be able to process your application. We may in our absolute discretion, refuse any application.

**Power of Attorney:** for applications signed under Power of Attorney, please provide an original certified copy of the Power of Attorney, a specimen signature and attach a certified copy.

**Identification of the Attorney.** We reserve the right to verify the validity of the Power of Attorney at any time.

## Your Adviser to Complete

Your Adviser will complete this section with you once you have agreed with your Adviser on how you wish your OneVue UMA account to operate.

### 14. AML Investor Verification Identification

OneVue needs to verify your identification; your Adviser may verify your identification on our behalf by completing this section and signing Section 15.

### 15. Adviser / Nominated Representative Details

By agreeing with your Adviser to provide their detail in this section you are authorising your Adviser to act as your Nominated Representative. Please refer to the relevant sections in Parts A and B of the SMA PDS and Parts C & D of the UMA Service Guide and the Nominated Representative Terms and Conditions below.

## AML Compliance and Identification Verification

**If your identity has not been verified by your Adviser you will need to provide the following.**

### Supporting documents to be provided by individuals for AML purposes

You will need to provide OneVue with original or certified copies of your supporting identification documents. You may be required to provide additional documentation in some circumstances.

Important: If the documents you provided are written in a language other than English, these documents must be accompanied by an English translation prepared by an accredited translator.

### What is a certified copy?

A certified copy is a copy which has been certified as being a true and accurate copy of the original by an authorised person such as a financial adviser who has held an AFSL for two or more continuous years, or a judge, magistrate, Justice of the Peace, lawyer or chartered accountant.

#### Who can certify documents?

- |  |   |
|--|---|
| <ul style="list-style-type: none"><li>• A full-time employee of a financial institution or a corporation registered within the meaning of the Financial Corporation Act 1974 who has been employed for at least 5 years by one or more financial bodies</li><li>• A member of one of; the Institute of Chartered Accountants in Australia, the Australian Society of Certified Practising Accountants, the National Institute of Accountants, the Chartered Institute of Company Secretaries in Australia Limited, the Association of Taxation and Management Accountants, the Institution of Engineers Australia (except a student member), the National Tax and Accountants' Association Limited or an individual who is registered as a tax agent under part VIIA of the Income Tax Assessment Act 1936</li><li>• A member of the Australian Federal Police or of the police of a State or territory of or above the rank of sergeant or who is in charge of a police station</li></ul> | <ul style="list-style-type: none"><li>• A judge, master or legal practitioner of a federal, State or Territory court</li><li>• A manager of a post office</li><li>• A member of a municipal, city, town, district or shire council of a State or Territory</li><li>• A full-time teacher at a primary or secondary school who has been so employed continuously for 5 years</li><li>• An individual employed as an officer or employee by one or more of the Commonwealth, a State or Territory or an authority thereof or a local government body of a State or territory who has been so employed continuously for 5 years</li><li>• A member of the Legislative Assembly of the ACT, the Northern Territory or Norfolk Island</li><li>• An individual who, in relation to the Aboriginal community is recognised to be a community elder or is an elected member of the community council.</li></ul> |
|--|---|

## Table 1 – Primary ID

Individuals will need to select either one document from Table 1 or two documents from Table 2.

<b>Acceptable Primary ID (photo IDs) - An original or certified copy of ONE of the following:</b>
An Australian driver's licence that contains a photograph of the licence/permit holder.
An Australian passport.
An identification card issued by a State or Territory that contains a photograph of the card holder.
A driver's licence issued by a foreign country that contains a photograph of the person.
A passport or other document of identity for the purpose of international travel that contains a photograph and signature of the passport holder and is issued by a foreign government, the UN or a UN agency. If written in a language other than English, this document must be accompanied by an English translation prepared by an accredited translator.
A national identification card that contains a photograph and signature of the card holder and is issued by a foreign government, the UN or a UN agency. If written in a language other than English, this document must be accompanied by an English translation prepared by an accredited translator.

## Table 2 – Secondary ID

<b>Acceptable Secondary ID documents</b> – Two secondary ID documents are required. Please provide an original or certified copy of ONE form of identification from Column A plus ONE from Column B.	
A	B
A notice relating to the provision of financial benefits issued by a State or Territory of the commonwealth within the preceding 12 months and contains the name and residential address of the individual.	A birth certificate or birth extract issued by a State or Territory.
A notice issued by the Australian Taxation Office within the preceding 12 months relating to a debt payable to or by an individual and contains the name and residential address of the individual.	A birth certificate issued by a foreign government, the UN or a UN agency. If written in a language other than English, this document must be accompanied by an English translation prepared by an accredited translator.
A rate notice issued to an individual by a local government or utilities provider within the preceding 12 months and contains the name and residential address of the individual.	An Australian citizenship certificate.
In relation to an individual under the age of 18, a notice issued to the individual by a school principal within the preceding three months and that records the time the individual attended the school and the name and residential address of the individual.	A citizenship certificate issued by a foreign government. If written in a language other than English, this document must be accompanied by an English translation prepared by an accredited translator.

## Nominated Representative Terms and Conditions

Your Nominated Representative is able to exercise all of the rights you grant them (except the right to transfer the authorisation to another person) to operate your OneVue accounts (including your OneVue SMA account and OneVue Other Assets & Liabilities Service account and your UMA Wrap Service account) on your behalf, including to:

- provide instructions relating to your OneVue accounts
- execute your investment decisions via the Online Order Pad
- access your personal information online
- make enquiries regarding your investments; and
- if you have so authorised them using either the Application Form in this UMA Service Guide or the Direct Debit Request form, instruct us to make additional investments on your behalf and debit your nominated bank account. When such instructions are provided to us by your Nominated Representative we will assume that you are aware of and accept the terms and conditions of the SMA Product Disclosure Statement and IDPS Contract that are current at the time and agree to the terms of the Direct Debit Agreement as provided in this Application Booklet or on the Direct Debit Request form.

You acknowledge that:

- any actions taken including orders placed and instructions given by your Nominated Representative are on your behalf and bind you
- OneVue is under no obligation to query any order placed or instruction given by your Nominated Representative
- the appointment of your Nominated Representative continues until you cancel it by giving us notice in writing to the following address: OneVue UMA Reply Paid 1926, Royal Exchange NSW 1224
- your Nominated Representative will have access to the personal information that we hold about you until such time as you advise us in writing (at the above address) that you do not wish your Nominated Representative to have further access to your personal information. If you advise us that you do not wish your Nominated Representative to have access to your personal information, your Nominated Representative will not be able to act on your instructions; and
- we are entitled to decline to accept a new authority and cancel a current authority at any time and in our absolute discretion

You agree that in consideration of providing the Nominated Representative facility, you release and indemnify OneVue Limited from and against any liability, loss or claim incurred or arising directly or indirectly as a result of any acts or omissions of your Nominated Representative, including as a result of our acting on any instructions from a person who appears in good faith to us to be a Nominated Representative or other person authorised to give us instructions in accordance with these Terms and Conditions.

Please be aware that fraudulent or other unauthorised instructions can be made by persons who gain access to your OneVue Account details, login and password. Accordingly, you agree to release and indemnify OneVue Limited against all claims and demands arising as a result of our acting on what appeared to be orders or instructions given by your Nominated Representative on your behalf.

Note: Funds and assets can not be transferred out of OneVue UMA by the Nominated Representative.

Please read the *Online Order Pad Conditions of Use* below before authorising your Nominated Representative to use the Online Order Pad.

### Authorising Online Order Pad access

By completing the Application Form and authorising your Nominated Representative to operate your OneVue accounts (including your OneVue SMA account and OneVue Other Assets & Liabilities Service account and your UMA Wrap Service account) you are giving that person your authority to use the OneVue Online Order Pad on your behalf. This authorisation allows your Nominated Representative to perform any other actions and transactions enabled by the Online Order Pad now and in the future.

When your Nominated Representative operates your OneVue accounts using the Online Order Pad you:

- authorise us to act on the instructions which are entered into the Online Order Pad; and
- acknowledge that you are bound by the Online Order Pad conditions of use

**Important: Please carefully read the Conditions of Use section below for details. We will assume any instructions received from your Nominated Representative in respect to your Portfolio have been authorised by you. Once we receive your authorisation we will act on your Nominated Representative's instructions without further determining their authenticity.**

Circumstances may arise where we or your financial adviser may need to source information about the investments held with investment issuers. You will be required to authorise your financial adviser to make enquiries and process investment decisions on your behalf regarding your investments.

### **Keep your OneVue account access details secure**

You and your Nominated Representative(s) should take great care to keep your account details, logins and passwords secret and not disclose them to anyone.

Please be aware that fraudulent or other unauthorised instructions can be made without your knowledge by people who gain access to your account details, login and password. Please also be alert to hoax websites and any emails which ask you to disclose your account details, login or password. Please call us on 1300 991 400 if you receive a suspicious request to disclose your information.

### **Online Order Pad Conditions of Use**

The Online Order Pad is the secure internet service provided by OneVue which enables your Nominated Representative to operate the products and services within your OneVue accounts ("the Online Order Pad"). These are the conditions of use which apply when the Online Order Pad is used to operate your account. (Please note that these conditions of use may be varied by us with at least 14 days written notice).

1. You accept the current Online Order Pad Conditions of Use each time that instructions are entered into the Online Order Pad.
2. Your Nominated Representative:
  - a. may only use the Online Order Pad for legitimate purposes
  - b. must not interfere with or damage (or attempt to interfere or damage) any code, data or software associated with the Online Order Pad
  - c. will keep confidential and secure any non-public information or data obtained at any time by using the Online Order Pad, and
  - d. will keep all account details, logins and passwords secure.
3. We are entitled to assume that any user has your authority each time the Online Order Pad is used to transact a product or service within OneVue UMA including account, login and password, except for any use occurring after you have given notice to the contrary.
4. We are entitled to accept instructions from any employee of your Nominated Representative who has been registered with us as holding delegated authority to so act and in this case any reference to a Nominated Representative will include the employee, so authorised.
5. We will use all reasonable efforts to provide (but do not guarantee we will provide) access to the Online Order Pad service at all reasonable times. From time to time, the Online Order Pad service may be unavailable to allow maintenance or for reasons beyond our control. We also reserve the right to suspend or terminate use of the Online Order Pad without notice, at any time and for any reason.
6. We will use reasonable efforts to provide (but do not guarantee that we will provide) reliable data and information, to the extent that it is within our control. We take no responsibility for the reliability of data and information outside our control.
7. Subject to conditions and warranties implied by legislation, we exclude:
  - a. liability for any delay, interruption or unavailability of the Online Order Pad and for any inaccuracy or incompleteness of data provided by any person and available via the Online Order Pad; and
  - b. all terms implied by statute, general law or custom except ones that may not be excluded. If any condition is breached or warranty implied by legislation in a contract with a consumer, liability for that breach is limited to a resupply of the goods or services in respect of which the breach occurred.
8. You can cancel the authority of your Nominated Representative to access your OneVue account via the Online Order Pad service at any time. We will require written confirmation of this request.
9. We may cancel you or your Nominated Representative's access to the Online Order Pad at any time and in our absolute discretion.

This page has intentionally been left blank.



# OneVue UMA

## Application Form

For

Parts A and B - Separately Managed Account (SMA)

Part C – Other Assets & Liabilities Service

Part D – UMA Wrap Service

Issued by OneVue Limited ABN 18 072 262 312 AFSL 245 525

Issued 1 November 2011

Please ensure you have read and understood Parts A to D of the OneVue UMA Service Guide before completing this Application Form made up of the following sections:

- Client Information
- Product and Service specific information
- Your Adviser to Complete
- Client declaration and signatures sections

### Parts A and B

OneVue Separately Managed Account Product Disclosure Statement (PDS)

Any person who provides another person access to this Application Form must also give the person access to Parts A & B of the PDS and any supplementary documents. You should read the PDS before completing this Application Form.

Should you receive an electronic copy of the PDS, a hard copy of the PDS including supplementary documents and Application Form may be sent to you free of charge upon request.

OneVue Separately Managed Account will only be available upon the receipt of a completed application form that has been issued together with the PDS.

### Part C

Provides information about the Other Assets & Liabilities Service.

### Part D

Any person who provides another person access to this Application Form must also give the person access to Part D of the OneVue UMA Service Guide, which is the Financial Services Guide & IDPS Guide for the UMA Wrap Service. You should read Part D before completing this Application Form.

### Please send complete application forms to:

OneVue UMA  
Reply Paid 1926  
Royal Exchange NSW 1224

1 November 2011

Please complete all pages of this application form in Black ink using BLOCK letters.

Please initial any corrections.

## 1. Products and Services

Please nominate the products and services that you require, by ticking the boxes.

<b>Separately Managed Account</b>	<input checked="" type="checkbox"/> Yes (Section 2 - 17)	
<b>Other Assets &amp; Liabilities Service</b>	<input checked="" type="checkbox"/> Yes (Section 2 - 9 plus Sections 13 - 17)	
<b>Macquarie CMA</b>	<input checked="" type="checkbox"/> Yes (Refer Macquarie CMA)	
<b>UMA Wrap Service</b>	<input type="checkbox"/> Yes (Sections 2 - 17)	<input type="checkbox"/> No
<b>Term Deposit Hub</b>	<input type="checkbox"/> Yes (Refer Term Deposit Hub Application & PDS)	<input type="checkbox"/> No
<b>OneStepSMSF</b>	<input type="checkbox"/> Yes (Refer SMSF Service Guide)	<input type="checkbox"/> No
<b>OneStepSUPER - Accumulation account</b>	<input type="checkbox"/> Yes (Refer OneStepSUPER Application & PDS)	<input type="checkbox"/> No
<b>OneStepSUPER - Pension account</b>	<input type="checkbox"/> Yes (Refer OneStepSUPER Application & PDS)	<input type="checkbox"/> No
<b>Insurance</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

## 2. Type of Account

Please nominate the type of account you wish to open.

<input type="checkbox"/> Individual (Section 3)	<input type="checkbox"/> Joint (Section 3)	<input type="checkbox"/> Deceased Estate (Section 3)	<input type="checkbox"/> Company (Section 4)
<input type="checkbox"/> Partnership (Section 5)	<input type="checkbox"/> Trust (Section 5)	<input type="checkbox"/> Superannuation Fund (Section 5)	<input type="checkbox"/> Other _____

## Client Information

### 3. Individual / Joint / Partnership / Deceased Estate / Minor

#### Investor 1

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by  Occupation

Residential Address

Suburb  State  Postcode

Country

Tax File Number  or Exemption

#### Investor 2

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by  Occupation

Residential Address

Suburb  State  Postcode

Country

Tax File Number  or Exemption

To record a special purpose name on your account, please refer to "How to Complete" section for details.

Account Designation (if applicable)

**Go to Section 6**

## 4. Company Details

Company Name

ABN/ACN  Registered for GST Yes  No

Type of company  Public Company  Proprietary Company  Listed Public Company or Subsidiary

Nature of business activity

Registered Office / Principal Place of Business

Suburb  State  Postcode

Tax File Number  or Exemption

Please provide full names of Directors of the Company (for Proprietary companies, please provide the following details for all Directors with holdings greater than 25% of issued capital and their security holding entitlement. If there are more than two directors, please provide details on a separate sheet).

### Director 1

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by

Security holding  % Occupation

Residential Address

Suburb  State  Postcode

Country

### Director 2

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by

Security holding  % Occupation

Residential Address

Suburb  State  Postcode

Country

**Go to Section 6**

## 5. Trusts and Superannuation Funds

Full name of trust

ABN/ACN  Registered for GST Yes  No

Company Trustee name (if applicable)

Country where trust established

Type of Trust: SMSF  Family  Unit  Charitable  Other

Tax File Number  or Exemption

Please circle the correct position you hold in the Trust.

### Individual Trustee / Member / Director 1 (please circle applicable position)

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by  Occupation

Residential Address

Suburb  State  Postcode

Country

### Individual Trustee / Member / Director 2 (please circle applicable position)

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by  Occupation

Residential Address

Suburb  State  Postcode

Country

### Individual Trustee / Member / Director 3 (please circle applicable position)

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by  Occupation

Residential Address

Suburb  State  Postcode

Country

### Individual Trustee / Member / Director 4 (please circle applicable position)

Mr  Mrs  Ms  Miss  Other

First name  Middle name

Surname  Date of birth

Any other name known by  Occupation

Residential Address

Suburb  State  Postcode

Country

[Go to Section 6](#)

## 6. Contact Details

Please specify your mailing address. If same address as above, please specify which address you wish to use as your mailing address or specify another below:

Contact Name	<input type="text"/>		
Mailing Address	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
		Postcode	<input type="text"/>
Country	<input type="text"/>		
Work Phone	<input type="text"/>	Mobile	<input type="text"/>
Home Phone	<input type="text"/>	Fax	<input type="text"/>
Email Address	<input type="text"/>		

## 7. Signing instructions for this account

### Joint/Partnership/Deceased Estate/Minor/Unincorporated Body

Unless operating instructions are specified, all signatories must sign. If you elect to have either signatory operate the account, this will bind the signatory or signatories to all future requests.

### Companies/Incorporated Bodies

For Company, Incorporated Associations or Body, accounts must be signed by two officers as required by the Corporations Act 2001, the constitution or rules of the company or incorporated body, unless indicated below. If you elect to have either signatory operate the account, this will bind the signatory or signatories to all future requests.

### Trust/Superannuation Fund

For Trusts and Superannuation Funds, accounts must be signed by two officers as required by the Corporations Act 2001, the constitution or rules of the Trust/Fund unless indicated below. If you elect to have either signatory operate the account, this will bind the signatory or signatories to all future requests.

**Please indicate who can give us instructions in relation to your OneVue UMA account.**

Any one to sign  All/both of us to sign  Other

## 8. Related Service Accounts

### Listed Securities - Non Custodial

**Please provide** your existing OneVue preferred Broker account details below to be used for your Listed Securities held in the Other Assets & Liabilities Service. **Note:** If a new broker account is to be established, please indicate the name of your broker and enter 'TBA' in the Account Number field.

Broker	<input type="text"/>	Account Number	<input type="text"/>
Account name	<input type="text"/>		
HIN	<input type="text"/>	(Holder Identification Number)	

### SMSF Administrator (for SMSF only)

If you have an existing SMSF Administrator or Accountant who uses BGL Simple Fund software to administer your SMSF, OneVue will be able to provide your SMSF Administrator or Accountant with a data feed of your investment transactions. In addition, if your SMSF Administrator or Accountant has subscribed to the BGL Portal your Adviser will be able to access your SMSF Financial Reports and documents. Please provide the following details of your SMSF Administrator to access these services.

I am using (tick as applicable):

OneStepSMSF OR

SMSF Administrator or Accountant name

SMSF Administrator or Accountant email

BGL Simple Fund Product ID  Simple Fund - Fund Code

Is your SMSF Administrator or Accountant a current BGL Portal user?

Yes - Please provide BGL Portal Reference

No - If your SMSF Administrator or Accountant would like to have access please contact BGL Corporate Solutions Pty Ltd for details.



## Other Bank Accounts

Current Balance	Balance Date	Account Name	BSB	Account Number	Bank/ Institution	Branch

## Term Deposits

Bank/ Institution	Account Name	Account Number	BSB	Deposit Value	Deposit Date	Maturity Date	Interest Rate

## Loan Accounts

Type	Current Balance	Establishment Date	Account Name	BSB	Account Number	Bank/ Institution	Branch

## Direct Property

Type	Property Address	Purchase Date	Purchase Price	Market Value	Prior Year Value

## Private Company or Trust

Type	Name	Securities /Units	Purchase Date	Purchase Price	Market Value	Prior Year Value

## Other

Description	Securities /Units	Purchase Price	Purchase Date	Market Value

## 10. Investment Details

### (a) Parts A & B – Separately Managed Account

(a) Please indicate how you wish to provide your initial investment and the amount.

- Direct Debit (please see Declaration in Section 10(c) below)
- Direct Credit to our bank account
- Cheque - Please make cheque payable to 'OneVue Managed Account'
- Security Transfer via Broker Sponsored (Please complete Security Transfer Request Form – Broker Sponsored and Capital Gains Tax Parcel Details Notification)
- Security Transfer via Issuer Sponsored (Please complete Security Transfer Request Form – Issuer Sponsored and Capital Gains Tax Parcel Details Notification)

(b) Rebalancing into model portfolios

ASX-listed securities transferred into a model portfolio are generally rebalanced to the selected model portfolio within 5 business days of receiving the last transfer.

- Tick this box if you wish the securities being transferred into a model portfolio to be rebalanced to the selected model portfolio as soon as they are received.

If the transfers are more complicated or if you have specific requirements, you can transfer securities into a Personally Directed Model Portfolio. Your adviser can then manage the rebalance into the selected model portfolio at the appropriate time.

(c) Total investment amount \$  If Direct Debit, date funds will become available

Please indicate the amount you would like to invest in each Model Portfolio. (Please estimate the value of your in-specie transfers). Note: The minimum total investment is \$25,000 and the minimum investment per Model Portfolio is \$25,000.

Model Portfolio	Code	Cash	Estimated \$ share transfer	Income plan per month	Savings plan per month
Ankura Capital High Yield Equity	AH				
ATI 20 Leaders	TL				
ATI 20 Leaders Income	AN				
ATI Balanced Growth	BG				
ATI Deep Value	DV				
ATI Global Equities	GE				
ATI Income Plus	IP				
ATI Property Securities	PS				
ATI ShareInvest Imputation	SI				
AUI Platypus Australian Equities SMA	AU				
Ausbil Active Equity	AL				
Ausbil Emerging Leaders	AE				
DNR Australian Equities High Conviction	OI				
DNR Australian Equities Income	OP				
DNR Australian Equities Socially Responsible	OV				
DNR Australian Listed Property Trust	OT				
Hyperion High Conviction Large Cap	HH				
JBWere Intermediary Growth	JG				
JBWere Intermediary Income	JI				
Lonsec Core	LC				
Lonsec Income	LI				
Proactive Portfolios Balanced	OB				
Proactive Portfolios Growth	OG				
Proactive Portfolios High Growth	OH				
Ralton Australian Shares	OA				
Ralton High Yield Australian Shares	OY				
Ralton Leaders	OL				
Ralton Smaller Companies	OS				
Renaissance Property Securities	RP				
SG Concentrated A-REIT	OQ				
SGH20 Portfolio	OR				
UBS Australian Property Securities	UP				
UBS Australian Small Companies	US				
UBS HALO (High Alpha Long Term Opportunity)	UH				
Personal Shares Portfolio	AO				

## (b) Part D – UMA Wrap Service

Please indicate how you wish to provide your initial investment and the amount.

- Direct Debit (please see Declaration in Section 10(c) below)
- Direct Credit to our bank account
- Cheque - please make payable to 'UMA Wrap Trust Account'

Total investment amount \$  If Direct Debit, date funds will become available

## (c) Ongoing Direct Debit Authorisation

Please tick one or both of the boxes below if you wish to authorise us to accept additional investment and future direct debit instructions on your behalf from your Nominated Representative whose details have been provided in this Application Form. You should ensure that you have read a current PDS and/or IDPS Guide as applicable, at the time any such instructions are provided to us.

- SMA  
I authorise the Custodian Citibank and/or
- UMA Wrap Service (for Managed Funds)  
I authorise Westpac Bank

until further notice in writing, to arrange for funds to be debited from my/our nominated account detailed in the section below for the purpose of investing as indicated.

### Declaration

I/We declare that I/We have read, understood and agree to be bound by the Direct Debit Terms and Conditions set out in the Application Booklet and by signing this form I/We acknowledge and agree that I/we are entering into a Direct Debit Agreement with you on such terms and conditions.

By providing Direct Debit Request instructions including future instructions that may be provided by me/us or by my/our Nominated Representative I/we acknowledge that I/we agree to the current PDS.

- If no date is provided, it will be assumed that funds are available and if any costs are incurred due to funds not being available then they will be debited from your account.
- For initial applications we will debit the amount(s) nominated from your account generally within two Business Days of receiving a valid application.
- For subsequent investments, when we receive a valid instruction either by letter or via secure website, we will debit the amount(s) nominated from your account generally within two Business Days of receiving the instructions (provided we have previously received your valid Direct Debit authority).
- A valid instruction will be an instruction given by you or from a person nominated by you to provide such instructions.

## 11. UMA Cash Account

Please provide details of your Macquarie CMA (or other cash account) in this section. This account is your cash account that is used for direct debit, collecting income, managing your investment expenses, fees, withdrawals and handling SMSF transactions.

Account Name

BSB  Account Number

Bank / Financial Institution  Branch

### Alternative nominated bank account for SMA and/or UMA Wrap Service only

If you wish to set up a different nominated bank account for withdrawals and direct debits, please provide the details of that nominated bank account below.

Account Name

BSB  Account Number

Bank / Financial Institution  Branch

## 12. Adviser Service Fee

### 1. Initial Fees

If you have agreed to pay your Adviser a one-off fee to be deducted from your initial investment please indicate the amount in one of the boxes below:

(a) Initial fee deducted from UMA Cash Account \$  (including GST)

(b) Contribution fee deducted from SMA Model Portfolio(s) \$  or  % (including GST)

### 2. Adviser Service Fee based on combined Portfolio Value

If you have agreed to pay your Adviser an ongoing Adviser Service Fee based on your combined Portfolio Value please complete **one** Value field in the table below with your agreed value and calculation method. Your combined Portfolio Value is equal to the sum of the total asset value of your Other Assets & Liabilities Service (but does not include the UMA Wrap Service) and your SMA Model Portfolios. This fee will be deducted from your UMA Cash Account.

Calculation method	Value pa (inc GST)			Explanation
Fixed \$ Fee	\$			The Fixed \$ fee is based on an agreed \$ dollar flat fee.
Fixed % Fee	%			The Fixed % fee is based on an agreed % basis of your Portfolio Value with a maximum of 2.2%.
Tiered % Fee	%	\$0	-\$500,000	The Tiered % fee is based on an agreed % per scale of your Portfolio Value. You and your Adviser may agree on the charges for each tier with a maximum base tier of 2.2%
	%	\$500,001	-\$1,000,000	
	%	\$1,000,001	-\$2,000,000	
	%	Over	-\$2,000,000	

### 3. Adviser Service Fee specific to SMA

If you have agreed to pay your Adviser an ongoing Adviser Service Fee based on your SMA investment, complete the % Value in the table below. This fee will be deducted from your Model Portfolio(s) and will be levied in addition to any fees shown above.

Calculation method	Value pa (inc GST)	Explanation
Fixed % Fee	%	The Fixed % fee is based on an agreed % basis of your OneVue Separately Managed Account value with a maximum of 2.2%.

**IMPORTANT: The total Adviser Service Fee charged on SMA assets will be the sum of sections 2 & 3 above.**

### 4. Adviser Service Fee specific to UMA Wrap Service only

This fee is in addition to any fees shown in 2 & 3 above.

Calculation method	Value pa (inc GST)	Explanation
Fixed % Fee	%	The Fixed % fee is based on an agreed % basis of your UMA Wrap Portfolio with a maximum of 2.2%.

**IMPORTANT: An Adviser Service Fee nominated in this section will be charged only on the UMA Wrap Service.**

## 13. Declaration & Signatures

By signing and completing this Application Form I/We confirm that:

- I/We am/are over 18 years of age and am/are resident in Australia for tax purposes.
- I/We declare that the information provided in this application form is complete and correct.
- I/We agree to the terms of the Adviser remuneration including any Adviser Service Fee as specified.
- I/We acknowledge and declare that the capital gains tax (CGT) parcels details I/we supplied in the Capital Gains Tax Parcel Details Notification are believed to be correct and OneVue will not be held responsible or liable in the event that any reconstructed CGT cost basis subsequently deemed to be incorrect by the Australian Taxation Office.
- I/We have read, understood and accept the terms and conditions applying to the Nominated Representative authority as contained in the UMA Application Booklet to which this application applies. I/We agree to be bound by the terms and conditions applying to this authority.
- I/We have read, understood and accept the terms and conditions applying to the Online Order Pad as contained in the UMA Application Booklet to which this application applies. I/We agree to be bound by the terms and conditions applying to this Online Order Pad.

- If this application is signed under Power of Attorney, the Attorney declares that he/she has not received notice of revocation of that power.
- I/We consent to the use of my personal information as outlined in the PDS, Other Assets & Liabilities Service Guide and the UMA Wrap Service IDPS Guide to which this application applies.
- I/We are not applying under an assumed name;
- Any money or securities invested are not derived from or related to criminal activities;
- Any proceeds from my/our investment will not be used for criminal activities;
- I/We will provide additional information reasonably requested as required by the AML/CTF laws;
- You may obtain information about me/us from third parties if you believe it is necessary to comply with the AML/CTF laws;
- In order to comply with the AML/CTF laws you may be required to take such actions as delaying or refusing to process applications or withdrawals or disclosing information you hold about me/us to relevant regulators or related bodies;
- I/We will not transfer my/our investments in the UMA to which this application applies to anyone who does not agree with the terms, conditions and acknowledgements set out in Section 17.
- In the case of joint applications, the joint applicants agree that unless otherwise expressly indicated on this application form, the investments will be held as joint tenants and either investor is able to operate the account and bind the other investor for future transactions, including additional deposits and withdrawals.
- I/We understand that neither the repayment of capital nor the performance of any OneVue UMA investment is guaranteed.
- I/We acknowledge that OneVue only administers my/our investments in the OneVue UMA and takes no responsibility for the performance of or risks associated with my/your investments or the repayment of my/our capital in full.

**Parts A & B Separately Managed Account**

- I/We have read and understand, in the context of my/our objectives, needs and financial situation, the PDS Part A and the relevant PDS Part B to which this Application applies.
- I/We agree to the offer and to be bound by the provisions of the Constitution governing SMA, and any other additional obligations or restrictions contained in the PDS.
- I/We agree to indemnify OneVue, the Investment Managers referred to in the PDS Part B and any of their related bodies corporate against any loss, liability, damage, claim, cost or expense incurred as a result, directly or indirectly arising out of, of the use of the facsimile withdrawal facility.
- I/We acknowledge that the Investment Managers referred to in the PDS Part B are the owners of all intellectual property rights in the selection process used to determine each Model Portfolio and these intellectual property rights must not be disclosed or used other than for the purpose of obtaining advice on, or for the administration, monitoring, management, and the satisfaction of legal obligations in respect of my/our account.

**Part C Other Assets & Liabilities Service**

- I/We acknowledge that I/We have read, understood and agree to be bound by terms, conditions and requirements of the Part C Other Assets & Liabilities Service Guide.

**Part D UMA Wrap Service**

- I/we acknowledge that I/we have read the IDPS Guide to which this application relates and agree to be bound by the terms and conditions of the UMA Wrap Service which are contained in the Financial Services Guide and IDPS Guide and the IDPS Contract relating to the UMA Wrap Service as amended from time to time.

Investor 1 / Director / Sole Director  
/ Trustee / Member (please circle)

Signature

Print name

Date

Director 3 / Trustee / Member (please circle)  
Signature

Print name

Date

Investor 2 or Director / Company secretary  
/ Trustee / Member (please circle)

Signature

Print name

Date

Director 4 / Trustee / Member (please circle)  
Signature

Print name

Date

## Your Adviser to Complete

### 14. AML Investor Verification Identification

Where an investment is made via a financial adviser OneVue will, in accordance with the AML legislation, rely upon the financial adviser to verify the identity of the investor. In verifying the identity of the investor:

- I confirm that I have complied with the requirements of the Anti Money Laundering (AML) and Counter Terrorism (CTF) Act 2006 and associated AUSTRAC rules. I understand that I am legally required to have verified the identity of the investor prior to providing the designated service (that is, arranging for the investor to invest in the OneVue UMA).
- I understand that, as permitted by the AML/CTF Act, you will rely on the investor identification that I conduct. Unless requested, you do not require certified copies or originals of documents used by me to verify the identity of the investor. Regardless of whether I provide you documents verifying the investor's identity, I acknowledge that you (as permitted under the AML legislation) will rely on me to verify the investor's identification.
- You may (as required) seek additional information from me or the investor to verify the investor's identity. I acknowledge that you may not accept an application until it is satisfied that the identity of the investor is verified.
- I confirm that, in accordance with the requirements of the AML legislation, I will retain all documentation used by me to verify the identity of the investor.
- I confirm that I am an Adviser registered with the UMA Service.

Yes I have verified the identity of the investor in accordance with the AML Legislation

No I have not verified the identity of the investor and they have been advised to provide you with the prescribed certified copies of identification as described in the How to complete the Application Form Identification Requirements and Procedures.

By signing this section, I acknowledge that I have read, understood and agree to comply with the above.

Signature of Nominated Representative / Adviser

Dealer Stamp

Name

Date

### 15. Adviser / Nominated Representative Details

Adviser Name

Adviser code

Dealer Group Name

Dealer Group Code

Work Phone

Fax

# OneVue UMA

## Authority to provide information to security/unit registries



OneVue Limited  
Reply Paid 1926, Royal Exchange NSW 1224  
T 1300 790 235 Fax 02 8022 7448  
E [service@onevue.com.au](mailto:service@onevue.com.au)  
W [www.onevue.com.au](http://www.onevue.com.au)

Account name

Adviser name

I/We authorise OneVue to electronically attach the signatures below to documents required to be completed on behalf of the tax entity for registry update purposes.

I/We understand that the signature/s will be maintained electronically in a secure environment, and will be limited to the purposes stipulated below:

- change of address and/or name correction requests;
- change of option (from Dividend Reinvestment Plan to cash distribution);
- provision of TFN to security/unit registry to prevent TFN withholding tax being deducted from income;
- ensuring that the bank account details held by security or unit registry are consistent with the tax entity's portfolio bank account details;
- electing to receive/not receive any annual reports regarding your investments;
- authority for release of information regarding your investments to the relevant security or unit registry as appropriate.

(NB - If a power of attorney exists for the entity, please also provide a certified copy of the power of attorney for our records.)

**Please use BLACK INK only, and ensure that signatures fall within the box, rather than crossing the lines of the box. If you do cross those lines, please ask your adviser for another form, as OneVue will be unable to record the signature electronically.**

Signature - Investor 1/Trustee 1/Director/Sole Director  
(Please circle)

Date

Please print name

Signature - Investor 3/Trustee 3/Director/Sole Director  
(Please circle)

Date

Please print name

Signature - Investor 2/Trustee 2/Director/Secretary  
(Please circle)

Date

Please print name

Signature - Investor 4/Trustee 4/Director/Secretary  
(Please circle)

Date

Please print name

This page has intentionally been left blank.

# Macquarie Cash Management Account OneVue UMA Withdrawal Authority



OneVue Limited  
Reply Paid 1926, Royal Exchange NSW 1224  
T 1300 790 235 Fax 02 8022 7448  
E [service@onevue.com.au](mailto:service@onevue.com.au)  
W [www.onevue.com.au](http://www.onevue.com.au)

Account name

BSB Number  Account number

1. We hereby authorise my/our agent OneVue Limited ABN 18 072 262 312 ("OneVue"), through its signatories who are notified from time to time in writing to Macquarie Bank Limited ABN 46 008 583 542 ("Macquarie"), to make withdrawal requests for the purpose of:
- Payment of OneVue UMA Fees
  - Processing withdrawal requests for depositing into your OneVue UMA Service
- From the Macquarie Cash Management Account described above. Macquarie may in its sole discretion terminate this authority at any time by notice in writing.

## General Terms which apply to withdrawal authority

- 2.1 Only you may appoint a third party to access or withdraw from your Account.
- 2.2 If you appoint a third party to withdraw from your Account they will automatically be able to enquire on your Account also.
- 2.3 Withdrawals may be for any amount and may be made at varying intervals of time.
- 2.4 You:
- a. indemnify Macquarie against all loss, liabilities and costs incurred directly or indirectly as a result of the appointment of a third party;
  - b. indemnify Macquarie against all loss, liabilities and costs incurred directly or indirectly in connection with any action by a third party under their appointment or any payment made from your account on their instruction; and
  - c. release Macquarie from claims and liabilities in connection with any act or omission relating to the appointment of a third party to your Account.
- 2.5 However, Macquarie remain liable for any loss or liability which, by operation of law Macquarie cannot exclude.
- 2.6 This authority takes effect on the date that Macquarie amend their records to note the appointment and continues until you cancel it by telling Macquarie in writing. Cancellation also takes effect on the date that Macquarie amend their records to note the change.
- 2.7 Macquarie may cancel the appointment of a third party as an authority on your account by telling you in writing.
- 2.8 In the event of the death of an account holder, the authority given under this form will automatically terminate.
- 2.9 Third parties may not set up Direct Debits on your Account or give other third parties access or authority on your account.
- 2.10 Where you give authority to a company or firm:
- a. The company or firm will give Macquarie details of people who can transact on its behalf;
  - b. You acknowledge and agree that the company or firm may do this and that the people nominated by the company or firm can withdraw from your Account in accordance with the authority you have given it;
  - c. Macquarie will only act on requests from the company or firm, if the person requesting the withdrawal has been nominated by it in accordance with Macquarie's procedures;
  - d. The company or firm must tell Macquarie in writing if any nominated person no longer has authority. If Macquarie have not been advised in writing that the person no longer has authority, then that person may still operate your account and you cannot claim that he or she is not acting for you until Macquarie are told by the company or firm in writing.

For personal accounts, all account holders must sign. For company accounts two directors, a director and a secretary or a sole director must sign. Please note that the directors/secretary who sign must be existing account signatories.

Signature 1

Signature 2

Date

Date

Signatory name

Signatory name

Common seal  
if required

This page has intentionally been left blank.

# Security Transfer Request Form Broker Sponsored Holdings



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

Please complete this form using BLOCK LETTERS and a black pen.

## 1. Account name

## 2. Sponsoring broker or participant account details

Registered name of broker account

Sponsoring broker/ participant  PID

Your account number  (if known)

Chess Holder Identification Number (HIN)

This form authorises you to release for transfer my/our securities to the custodianship of:  
Citicorp Nominees Pty Ltd                      PID: 20018  
GPO Box 764G                                      HIN: X003 7708 909  
Melbourne VIC 3000                              Account Number: 2064 3100 00

## 3. Security transfer details

Please choose one of the following options:

- I/ We authorise the current sponsor to transfer ALL stock held within the above mentioned CHESS HIN.
- OR
- I/ We authorise the current sponsor to transfer the securities listed below or separately attached, including any recent parcels.

ASX Code	Quantity

ASX Code	Quantity

ASX Code	Quantity

## 4. Cash transfer authority

If you are transferring into OneVue Managed Account from another managed account or wrap that contains cash, you will need to complete this section. Please make cheques payable to "OneVue Managed Account".

Amount of transfer  Balance of cash amount  Specified amount \$

Any authorised cash transfers should be paid to OneVue Managed Account account:

BSB                                      243 - 000  
Account number                      206 - 431 - 008

OneVue as Responsible Entity for OneVue Managed Account.

## 5. Declaration

I declare that the OneVue Managed Account account is in the same legal name and designation from which the funds are being transferred.

I/ We, the undersigned, acknowledge that this form authorises the sponsoring broker or participant to release for transfer my/ our securities to the custodian as stated above and for a managed account provider to release cash held.

Signature - Investor 1/Trustee 1/Director/Sole Director  
(Please circle)

Date

Please print name

Signature - Investor 2/Trustee 2/Director/Secretary  
(Please circle)

Date

Please print name

### How to complete the Security transfer form for broker sponsored holdings

Complete this form to transfer security holdings held by a broker sponsor or CHES participant into your OneVue Managed Account and/ or to transfer cash held in a managed account. If you are transferring holdings from more than one broker sponsor, first copy this form. Ideally attach a copy of the latest Sponsored Holding Statement or account statement for each sponsor.

1. Registered name of account - The full name in which the account is held.
2. Sponsoring broker - Name of the broking firm or CHES participant through which your broking account is held.
3. PID - The Participant Identification Number (PID) of the sponsor (if known).
4. Account number - Your account number. This may be found on a recent statement.
5. CHES HIN - The CHES Holder Identification Number (HIN) of your account (if known). This number begins with 'X' and can be found on statements from the security registries.
6. Security Transfer details - Select the first option if you would like to transfer all securities held within your account. Select the second option if you would like to transfer only certain securities. You will need to specify your selected securities in the tables below.
7. Selection of securities to transfer - Make your selection by specifying the ASX Code and the quantity of the securities you would like to transfer. You do not need to complete these tables if you are transferring all the securities in the account.
8. Specify amount of cash to be transferred (if any) from another managed account provider.
9. Declarations  
Individual: This form is to be signed by the security holder.  
Joint Holding: Where the holding is in more than one name, all security holders must sign.  
Power of attorney: To sign as Power of Attorney, you must have already lodged forms with the registry. Alternatively, attach a certified photocopy of the Power of Attorney to this form.  
Companies: Director, Company Secretary, Sole Director and Sole Company Secretary can sign. Please indicate the office held by signing in the appropriate space.

PLEASE NOTE: We can only accept parcels of securities for which you can provide the cost base and purchase date details. This can be provided by completing a Capital Gains Tax Parcel Details & Locking Notification Form.

IMPORTANT: If you do not provide a locking status for securities they will be sold and placed into your selected Model Portfolio. Cash will be invested across your selected Model Portfolios.

# Security Transfer Request Form Issuer Sponsored Holdings



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

Please complete this form using BLOCK LETTERS and a black pen.

## 1. Account name

## 2. Security details

ASX Code  Full company name   
Description of securities   
Quantity (in words)  Figures

## 3. Security transfer details

Full name(s) on registered holding   
Registered address   
 State  Postcode   
SRN (Security Holder Reference Number)  (see Holding Statement)

## 4. Individual or security holder

Security Holder 1

Signature - Investor 1/Trustee 1/  
Director/Sole Director (Please circle)

Date

Security Holder 2

Signature - Investor 2/Trustee 2/  
Director/Secretary (Please circle)

Date

Security Holder 3

Signature - Investor 3/Trustee 3/  
Director/Secretary (Please circle)

Date

# How to complete the Security Transfer Form for Issuer Sponsored Holdings

This form enables a Non Broker Participant to request an issuer to authorise transfer of securities to the CHESSE Subregister. If you are transferring holdings from more than one issuer sponsor, first copy this form.

## Security details

The full name and the ASX Code of the Company (or Trust) in which the securities being transferred are held.

## Description of securities

For example, Fully Paid Ordinary Securities (FPO), Convertible Notes (CN), Options and expiry dates, Partly Paid Securities, etc.

## Quantity

The number of securities being transferred in both words and figures.

## Full name(s) of registered holdings

Enter the names of all security holders as shown on related security holder documentation such as a holding or dividend statement.

## Registered Address

Enter the registered address exactly as shown on related security holder documentation (even if it contains an error).

## Security Holder Reference Number (SRN)

The transfer cannot be processed without the SRN. This can be found on the issuer sponsored holding statement.

## Signatures

Individual: This form is to be signed by the security holder.

Joint Holding: Where the holding is in more than one name, all security holders must sign.

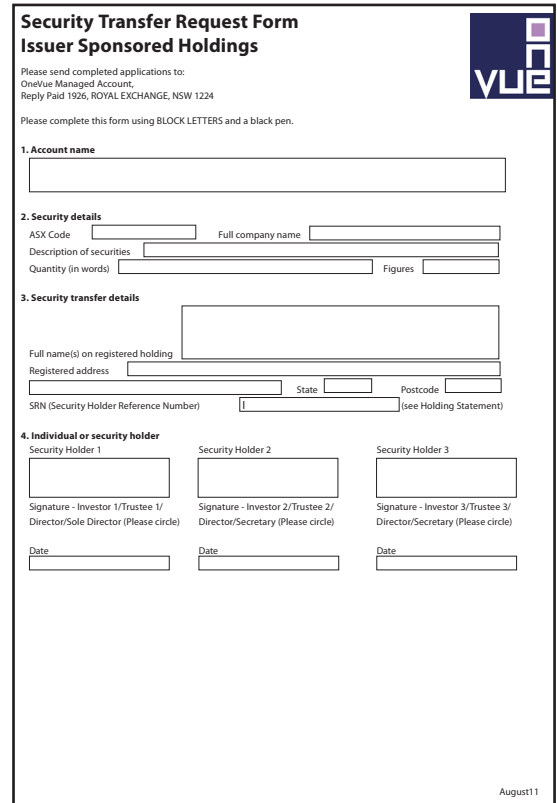
Power of attorney: To sign as Power of Attorney, you must have already lodged it with the registry. Alternatively, you can attach a certified photocopy of the Power of Attorney to this form.

Companies: Director, Company Secretary, Sole Director and Sole Company Secretary can sign. Please indicate the office held by signing in the appropriate space.

## PLEASE NOTE:

We can only accept the transfer of parcels of securities for which you can provide the cost base and purchase date history.

**IMPORTANT:** If you do not provide a locking status for securities they will be sold and placed into your selected Model Portfolio. To provide the locking status, please complete a Capital Gains History & Locking Notification Form. Cash will be invested across your selected Model Portfolios.



**Security Transfer Request Form  
Issuer Sponsored Holdings**

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

Please complete this form using BLOCK LETTERS and a black pen.

**1. Account name**  
[ ]

**2. Security details**  
ASX Code [ ] Full company name [ ]  
Description of securities [ ]  
Quantity (in words) [ ] Figures [ ]

**3. Security transfer details**  
Full name(s) on registered holding [ ]  
Registered address [ ]  
State [ ] Postcode [ ]  
SRN (Security Holder Reference Number) [ ] (see Holding Statement)

**4. Individual or security holder**

Security Holder 1	Security Holder 2	Security Holder 3
[ ]	[ ]	[ ]
Signature - Investor 1/Trustee 1/ Director/Sole Director (Please circle)	Signature - Investor 2/Trustee 2/ Director/Secretary (Please circle)	Signature - Investor 3/Trustee 3/ Director/Secretary (Please circle)
Date [ ]	Date [ ]	Date [ ]

August 11

# Macquarie Cash Solutions Account Nomination

Macquarie Bank Limited ABN 46 008 583 542 AFSL No. 237 502 is the provider of the Macquarie Cash Management Account (CMA), Macquarie Bank Term Deposit (Term Deposit) and Macquarie Cash XL (Cash XL).



PLEASE USE BLACK INK

Use this form to link additional accounts to [transact@macquarie](mailto:transact@macquarie) and/or Macquarie PhoneLink. For Cash XL clients only one pre-nominated account can be linked to your Cash XL Account. For Term Deposit accounts use this form to change your nominated account for funds to be paid to upon maturity.

**Return this form to:**

Reply paid 192  
AUSTRALIA SQUARE NSW 1215  
Fax: 1800 550 140  
Overseas fax: +61 7 3233 5499

Phone: 1800 806 310  
Overseas phone: +61 7 3233 8136

Visit [macquarie.com.au/personal/contact](http://macquarie.com.au/personal/contact) for other office locations in Melbourne, Brisbane, Perth, and Adelaide.

**Online:** [macquarie.com.au/personal](http://macquarie.com.au/personal)  
**Email:** [transact@macquarie.com](mailto:transact@macquarie.com)

**1 Your Macquarie account details**

What is your account number?

What is your account name?

**2 Your contact details**

Contact number (business hours)

Contact number (after hours)

Contact number (mobile)

**3 Nominated accounts**

I would like the details below to:

Replace all account(s) previously nominated

Be nominated in addition to those previously nominated   
(CMA only)

*(If you do not tick a box we will assume that the details below will be in addition to those previously nominated)*

**4 Banking Details**

CMA and Cash XL: record the accounts below for [transact@macquarie](mailto:transact@macquarie) and/or Macquarie PhoneLink funds transfers.

Term Deposits: change your nominated bank account for funds to be paid to upon maturity.

**Please check your payee account details carefully.**

It is your responsibility to ensure all payee account details are correct. Payments are processed using the BSB and account number provided, and account names are used as a reference only. Incorrect details may result in a loss of funds and we do not guarantee their recovery. We do not accept liability for funds unable to be recovered. Please confirm the correct account details with the payee.

**Please note:** to amend your nominated account for a Term Deposit you will be required to provide a bank statement(s) for both your old and new nominated accounts.

**Credit card accounts cannot be nominated, payments can be made using BPAY®.**

(A) Name of Bank, Building Society or Credit Union

Branch address

Branch (BSB) number

 - 

Account/membership number

Account name

(B) Name of Bank, Building Society or Credit Union

Branch address

Branch (BSB) number

 - 

Account/membership number

Account name

**5 Declaration and signatures**

By completing this form, you accept and agree to be bound by the terms and conditions contained in the CMA, Term Deposit, or the Cash XL Product Information Statement (as applicable to you), which relate to the use of nominated bank accounts, phone banking and internet banking. If you do not already have a copy of the relevant offer document you can obtain it from our website at [macquarie.com.au/personal](http://macquarie.com.au/personal) or by contacting us.

**Signature 1**

Name (print here)

Any other name known by (if applicable) Required under the AML/CTF Act 2006.

Signature

Date

**Signature 2**

Name (print here)

Any other name known by (if applicable) Required under the AML/CTF Act 2006.

Signature

Date

**Office use only**

Sig Ver

Macquarie Access Code

Work Item Number (WIN)



®Registered to BPAY Pty Ltd ABN 69 079137 518