

# FIIG Adviser Services Accounts Application Form

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Opening FIIG Client Accounts with FIIG Securities Limited

ABN 68 085 661 632 | AFSL holder number 224659

1 January 2017

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## Important Information

FIIG Securities Limited ('FIIG') provides general financial product advice only. As a result, this document, and any information or advice, has been provided by FIIG without taking account of your objectives, financial situation and needs. FIIG's AFS Licence does not authorise it to give personal advice. Because of this, you should, before acting on any advice from FIIG, consider the appropriateness of the advice, having regard to your objectives, financial situation and needs. If this document, or any advice, relates to the acquisition, or possible acquisition, of a particular financial product, you should obtain a product disclosure statement relating to the product and consider the statement before making any decision about whether to acquire the product. Neither FIIG, nor any of its directors, authorised representatives, employees, or agents, makes any representation or warranty as to the reliability, accuracy, or completeness, of this document or any advice. Nor do they accept any liability or responsibility arising in any way (including negligence) for errors in, or omissions from, this document or advice. FIIG, its staff and related parties earn fees and revenue from dealing in the securities as principal or otherwise and may have an interest in any securities mentioned in this document. Any reference to credit ratings of companies, entities or financial products must only be relied upon by a 'wholesale client' as that term is defined in section 761G of the Corporations Act 2001 (Cth). FIIG strongly recommends that you seek independent accounting, financial, taxation, and legal advice, tailored to your specific objectives, financial situation or needs, prior to making any investment decision. FIIG does not provide tax advice and is not a registered tax agent or tax (financial) advisor, nor are any of FIIG's staff or authorised representatives. FIIG does not make a market in the securities or products that may be referred to in this document. A copy of FIIG's current Financial Services Guide is available at [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg).

An investment in notes or corporate bonds should not be compared to a bank deposit. Notes and corporate bonds have a greater risk of loss of some or all of an investor's capital when compared to bank deposits. Past performance of any product described on any communication from FIIG is not a reliable indication of future performance. Forecasts contained in this document are predictive in character and based on assumptions such as a 2.5% p.a. assumed rate of inflation, foreign exchange rates or forward interest rate curves generally available at the time and no reliance should be placed on the accuracy of any forecast information. The actual results may differ substantially from the forecasts and are subject to change without further notice. FIIG is not licensed to provide foreign exchange hedging or deal in foreign exchange contracts services. The information in this document is strictly confidential. If you are not the intended recipient of the information contained in this document, you may not disclose or use the information in any way. No liability is accepted for any unauthorised use of the information contained in this document. FIIG is the owner of the copyright material in this document unless otherwise specified.

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131 St Georges Terrace  
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Thank you for choosing FIIG Securities Limited ("FIIG").

FIIG provides access to the world of fixed income (also known as fixed interest) by enabling direct ownership of corporate and government bonds and term deposits. All FIIG services are designed to ensure you are able to choose, control and retain beneficial ownership of your investments: so ultimate control always remains where it should be - with you.

Opening your FIIG Client Accounts is straightforward. This FIIG Adviser Services Accounts Application Form provides you with access to the documents and forms required to open your FIIG Client Accounts, enabling you the opportunity to access both term deposits in accordance with FIIG's Deposit Service Authority Agreement and fixed income financial investments and securities in accordance with FIIG's Agreement for Opening a Client Custody and Investment Transaction Account.

### Term Deposits under the Deposit Service Authority Agreement

FIIG provides a number of features and benefits to help your adviser to manage your deposit investments, including:

- convenient online access to your term deposit portfolio;
- simple, online comparison of rates from a range of major banks, regional banks and other Authorised Deposit-taking Institutions (ADIs);
- ability to provide your transaction instructions in deposit investments online; and
- automatic lodgement of ADI applications.

### Buy and sell your own bonds with FIIG

FIIG provides you, the Client, with the opportunity to buy and sell corporate, bank and government bonds in parcels from as little as \$10,000 with a minimum portfolio balance of \$50,000. This is suitable for individuals, trusts, companies and SMSFs and you can choose from model portfolios or hand select the bonds that suit your individual needs. Either way, you are investing directly, with beneficial ownership of your investments in bonds remaining with you.

This service enables you to:

- access corporate, bank and government bonds in parcels from as little as \$10,000;
- choose from an extensive list of corporate, bank and government bonds; and
- buy and sell bonds at a time that suits you.

### Opening your FIIG Client Accounts is straightforward

This pack provides you with a single document to access information and forms which you need to read, complete and return to us. If you need our assistance to complete the account opening process, simply contact us on **1800 01 01 81** or send us an email enquiry at [clientservices@fiig.com.au](mailto:clientservices@fiig.com.au).

Yours sincerely,



**Andrew Kidd**  
Head of Client Services

Please provide ALL of the information requested below. We use the information you provide to verify your identity and establish your FIIG Client Accounts. If you are unable to provide any particular piece of information please explain this or insert **Not Applicable**. Information (including client identification details and personal information) may be provided to ADIs providing products, invested in by the Client or to agents appointed by FIIG to carry out relevant procedures and services, in order for FIIG and those entities to meet their obligations under the **Anti-Money Laundering/Counter Terrorism Financing Act 2006** and under the Intergovernmental Agreement between the Australian and U.S. governments to improve international tax compliance and to implement FATCA (“IGA”).

## SECTION 1. INVESTMENT ENTITY DETAILS

Please provide details about the investment entity that you will be investing under.

**Investment Entity structure** (Select ONE)

Individual/Joint     Company     SMSF     Trust (eg. Family or discretionary)     Other (describe below)

Describe if you selected “Other”:

**Investment Entity name** (Please provide the exact name of the legal investment entity - see below for examples)

E.g. Individual(s) – Mr. John Smith and Mrs. Jane Smith  
 Company – Smith Investments Pty Ltd  
 SMSF with Company Trustee – Smith Investments Pty Ltd <Smith Superannuation Fund>  
 SMSF with Individual Trustees – Mr. John Smith and Mrs. Jane Smith <Smith Superannuation Fund>

**Business/Trading As Name(s) if any**

**Mailing Address**

Note: This address will be used for FIIG to send communications relating to these accounts, including copies of contract notes, monthly statements etc.

**Tax File Number(s) (TFNs)**

**ABN** (Applicable only if the Investment Entity is a Company, SMSF or Trust)

Note: If you are investing as an individual, company, SMSF or trust there will generally be only one TFN. If you are investing as a joint account you should include the TFN of all investors noting their first name alongside.

**Company/organisation details** (Complete if you have selected “Company” or “Other” in the Investment Entity)

Company name

ACN

Registered address

Principal place of business address

Nature of business activity

## SECTION 2. TRUSTEE & TRUST DETAILS – Complete if the Investment Entity is a SMSF or Trust

Please provide details about the Trustee of the SMSF or Trust you have described above.

**Trustee type** (select ONE)

Individual Trustee(s)

Company/Corporate Trustee

**Company name and ACN** (Complete only if the Trustee is a Company/Corporate Trustee)

Company name

ABN/ACN

Registered address

Principal place of business address

Full name of Settlor of the trust

Nature of trust activity

**Type of Trust**

Regulated trust (e.g. Self Managed Super Fund)

Other trust type (e.g., Family, Unit)

**If a Regulated Trust, name of regulator** (please select ONE only)  ATO

ASIC

APRA

## SECTION 3. BENEFICIAL OWNERS AND TRUST BENEFICIARY DETAILS

Please provide details for Beneficial Owners\* and/or listed trust beneficiaries.

### Full Name 1

Full Name	Other Name(s) (if any)
Date of Birth	Residential Address (no PO Box allowed)

### Full Name 2

Full Name	Other Name(s) (if any)
Date of Birth	Residential Address (no PO Box allowed)

### Full Name 3

Full Name	Other Name(s) (if any)
Date of Birth	Residential Address (no PO Box allowed)

### Full Name 4

Full Name	Other Name(s) (if any)
Date of Birth	Residential Address (no PO Box allowed)

\* A Beneficial Owner is an individual who ultimately owns (25% or over) or controls (by any legal or equitable means) directly or indirectly the Investment Entity.

## SECTION 4. WHOLESALE CLIENT STATUS

For information about Wholesale Client Status see our Wholesale Client factsheet [fiig.com.au/wholesale](http://fiig.com.au/wholesale)

Does the Investment Entity meet the criteria to register with FIIG as a Wholesale Client? (select ONE)

- No / not sure
- Yes **Download the Wholesale Client Certificate at [fiig.com.au/wholesale](http://fiig.com.au/wholesale) and ask your accountant to complete it OR provide your accountant's details below and we will send it to them for you.**

Accountant's name and contact details (leave this blank if you do not want us to contact your accountant)

Name	Email	Phone
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## SECTION 5. FATCA INFORMATION (US Foreign Account Tax Compliance Act) SELF CERTIFICATION

We are required to collect certain information relating to your residency for tax purposes due to legislation introduced by the U.S. Government and the related intergovernmental agreement between the U.S. and Australian governments which has been implemented into Australian law. The legislation is known as FATCA which stands for Foreign Account Tax Compliance Act.

The introduction of FATCA has resulted in a number of additional due diligence and reporting requirements for non-U.S. financial institutions. The purpose of FATCA is to ensure that income tax is paid by U.S. individuals and entities where they have financial accounts outside of the U.S.. Please refer to paragraphs 1.5(K) and 1.5(L) of the CCIT Agreement and paragraph 1.5(E) of the Deposit Service Authority Agreement.

**Your application will not progress if you are unable to complete the below FATCA self-classification section. The FATCA self-classification information provided in this application may be provided to an Authorised Deposit-taking Institution or other financial product issuers and to the ATO.**

## FATCA Classification

In accordance with the selection you made in Section 1 "Investment Entity Details", please complete the Part below most applicable to your Investment Entity.

### PART A – ONLY COMPLETE IF: Individual or Joint Individuals Investment Entity

Is the Investment Entity an individual/joint individuals who is/are:

- i. an Australian resident or citizen for taxation purposes? Yes  No
- ii. a U.S. citizen or U.S. resident for FATCA purposes? Yes  No

If you answered 'Yes' to Part A(i) and 'No' to Part A(ii) please proceed to Section 6.

If you answered 'No' to Part A(i) or 'Yes' to Part A(ii) FIIG may be unable to proceed with the application for this Investment Entity.

### PART B – ONLY COMPLETE IF: Regulated Super Fund Investment Entity (including Self-Managed Superannuation Funds)

Is the Investment Entity a Regulated super fund applicant (Self-Managed Superannuation Fund, APRA regulated super fund, government super fund or pooled superannuation trust)? Yes  No

If you answered 'Yes' to Part B please proceed to Section 6.

If you selected 'No', please complete Part C of this Section 5.

### PART C – ONLY COMPLETE IF: Trust or Company Investment Entity

1. Is the Investment Entity a trust or company that operates in the U.S. or was incorporated or established in the U.S.? Yes  No

a. If no, please certify whether for FATCA purposes, the Investment Entity has one of the following classifications? Please tick one box only.

- Australian Financial Institution
- Exempt Beneficial Owner
- Active Non-Financial Foreign Entity (NFFE)
- Passive NFFE with no Controlling Person who is a U.S. citizen or U.S. resident for FATCA purposes

b. If you ticked 'Australian Financial Institution' above and the Investment Entity has registered with the U.S. Internal Revenue Service and obtained a GIIN, please provide your GIIN:

GIIN

c. If you ticked 'Australian Financial Institution' above and have not registered with the U.S. Internal Revenue Service, please advise which one of the below exemptions you are relying on for the purposes of the IGA to establish your FATCA status as a Non-Reporting Australian Financial Institution:

- Government Entity
- Central Bank – Reserve Bank of Australia
- Financial Institution with a Local Client Base
- Local Bank
- Financial Institution with only Low-Value Accounts
- Qualified Credit Card Issuer
- Other – please specify:

2. I certify there are no U.S. Persons or U.S. tax residents which are Controlling Persons of the entity: Correct  Incorrect

Capitalised terms used in this section have the meanings defined in the Intergovernmental Agreement between the U.S. and Australian governments to improve international tax compliance and to implement FATCA, dated 28 April 2014 ("IGA").

## SECTION 6. INVESTOR/TRUSTEE/DIRECTOR/AUTHORISED SIGNATORY DETAILS

Please provide the following information for individuals (including investors, directors, trustees and authorised signatories) in relation to the Investment Entity in section 1 of this form. You are required to provide FIIG with information (including Client identification details and personal information) under the **Anti-Money Laundering and Counter Terrorism Financing Act 2006**. Your financial adviser (set out in Section 7) obtains all your relevant client identification/KYC information on behalf of FIIG as AML agent and provides such information to FIIG as necessary. For company accounts, two (2) Directors' or Authorised Signatories details are required, with the exception of Sole Director companies. **If you are more than two investors, trustees, directors or authorised signatories, please complete all details.**

### INDIVIDUAL 1

Role (Individual/Trust/Director/Secretary/Beneficial)

Given name(s)

Surname

Other Name

Salutation (Mr, Mrs) & Date of birth

Occupation

Mother's maiden name

Yes  No Is this individual an authorised signatory (i.e. authorised to instruct on this account)?

### Residential address

Street no. & name

Suburb

State & postcode

Country

Time at address

Email address

Phone

**Valid driver's licence details**  Tick if you do not have a valid licence

Licence no

**Valid passport details**  Tick if you do not have a valid passport

Passport no.

Issuing country

Full name on passport (if different from above)

Gender  Male  Female

If you qualify as being of an indeterminate or unspecified gender on your passport or other primary identification document, please select this box

**Medicare** (Please provide Day if card colour is Blue or Yellow)

Tick if you do not have a valid Medicare card

Medicare card no.

Name as on card

Expiry date

**Source of Funds or Wealth** (must tick one only)

- Income (i.e., employment, investment, business, other earnings)
- One-off payment (i.e., matured investment, legal settlement, estate proceeds)
- Sale of assets (i.e., shares, property)
- Windfall (i.e., gifts, winnings)

### INDIVIDUAL 2

Role (Individual/Trust/Director/Secretary/Beneficial)

Given name(s)

Surname

Other Name

Salutation (Mr, Mrs) & Date of birth

Occupation

Mother's maiden name

Yes  No Is this individual an authorised signatory (i.e. authorised to instruct on this account)?

### Residential address

Street no. & name

Suburb

State & postcode

Country

Time at address

Email address

Phone

**Valid driver's licence details**  Tick if you do not have a valid licence

Licence no

**Valid passport details**  Tick if you do not have a valid passport

Passport no.

Issuing country

Full name on passport (if different from above)

Gender  Male  Female

If you qualify as being of an indeterminate or unspecified gender on your passport or other primary identification document, please select this box

**Medicare** (Please provide Day if card colour is Blue or Yellow)

Tick if you do not have a valid Medicare card

Medicare card no.

Name as on card

Expiry date

**Source of Funds or Wealth** (must tick one only)

- Income (i.e., employment, investment, business, other earnings)
- One-off payment (i.e., matured investment, legal settlement, estate proceeds)
- Sale of assets (i.e., shares, property)
- Windfall (i.e., gifts, winnings)

## INDIVIDUAL 3

Role (Individual/Trust/Director/Secretary/Beneficial)

Given name(s)

Surname

Other Name

Salutation (Mr, Mrs) & Date of birth

Occupation

Mother's maiden name

Yes  No Is this individual an authorised signatory (i.e. authorised to instruct on this account)?

### Residential address

Street no. & name

Suburb

State & postcode

Country

Time at address

Email address

Phone

**Valid driver's licence details**  Tick if you do not have a valid licence

Licence no

**Valid passport details**  Tick if you do not have a valid passport

Passport no.

Issuing country

Full name on passport (if different from above)

Gender  Male  Female

If you qualify as being of an indeterminate or unspecified gender on your passport or other primary identification document, please select this box

**Medicare** (Please provide Day if card colour is Blue or Yellow)

Tick if you do not have a valid Medicare card

Medicare card no.

Name as on card

Expiry date

**Source of Funds or Wealth** (must tick one only)

Income (i.e., employment, investment, business, other earnings)

One-off payment (i.e., matured investment, legal settlement, estate proceeds)

Sale of assets (i.e., shares, property)

Windfall (i.e., gifts, winnings)

## INDIVIDUAL 4

Role (Individual/Trust/Director/Secretary/Beneficial)

Given name(s)

Surname

Other Name

Salutation (Mr, Mrs) & Date of birth

Occupation

Mother's maiden name

Yes  No Is this individual an authorised signatory (i.e. authorised to instruct on this account)?

### Residential address

Street no. & name

Suburb

State & postcode

Country

Time at address

Email address

Phone

**Valid driver's licence details**  Tick if you do not have a valid licence

Licence no

**Valid passport details**  Tick if you do not have a valid passport

Passport no.

Issuing country

Full name on passport (if different from above)

Gender  Male  Female

If you qualify as being of an indeterminate or unspecified gender on your passport or other primary identification document, please select this box

**Medicare** (Please provide Day if card colour is Blue or Yellow)

Tick if you do not have a valid Medicare card

Medicare card no.

Name as on card

Expiry date

**Source of Funds or Wealth** (must tick one only)

Income (i.e., employment, investment, business, other earnings)

One-off payment (i.e., matured investment, legal settlement, estate proceeds)


Sale of assets (i.e., shares, property)

Windfall (i.e., gifts, winnings)



## SECTION 7. FINANCIAL ADVISER DETAILS (complete only if applicable)

Please provide details of your financial adviser acting on your behalf on this account. Generally financial advisers include financial planners, stockbrokers, accountants or account administrators.

Adviser's full name		Representative/Advisor no.
<input type="text" value="Given Name(s)"/>	<input type="text" value="Surname"/>	<input type="text"/>
Is this adviser the primary contact for this account?.....		<input type="checkbox"/> Yes <input type="checkbox"/> No
Should this adviser receive copies of your account statements, contract notes, reports etc?.....		<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this adviser an authorised signatory? i.e. Authorised to instruct in relation to your account and investments?.....		<input type="checkbox"/> Yes <input type="checkbox"/> No
If this adviser is an authorised signatory, they must sign here:		
	<b>SIGN HERE</b> 	<input type="text"/>

## Adviser Contact Details

Adviser's business name	AFSL number
Adviser's business address	
Adviser's business phone	Adviser's business fax
Adviser's email	Adviser group email

## SECTION 8. DATA FEEDS

By selecting a party below, you authorise FIIG to provide your personal and transactional information and any data concerning you and your investments through FIIG, to the selected party, as necessary.

I authorise and consent to FIIG providing the below superannuation administration service or platform, and advisor (set out in Section 7) with my personal, transactional and investment information and data via the relevant nominated data feed provider (i.e. Class Super, IRESS, XPlan) from time to time.

Name of Superannuation Administration Service or Platform:

## SECTION 9. NOMINATED BANK ACCOUNT – YOUR FIIG FUNDING ACCOUNT

Please complete this section (by ticking either Option A, Option B or Option C below).

### A. Open a Macquarie Cash Management Account

I/we instruct FIIG to open a Macquarie Cash Management Account on my/our behalf in the name of the Investment Entity set out above, and grant FIIG authority over that account in accordance with the CCIT Agreement. I/we request that FIIG transact, settle and otherwise deal with this Bank Account in accordance with the CCIT Agreement. I request that FIIG directly debit that Bank Account in accordance with the CCIT Agreement and the Direct Debit Terms and Conditions available at [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms). (Please refer to clause 1.1(A)(iii) and 1.1(A)(iv) of Section 11 and 1.5 (C) of Section 12 of this application form for additional information).

FIIG will prepare an online application to Macquarie Bank Limited on behalf of the Client to open a Macquarie Cash Management Account. The Client will receive an e-mail from Macquarie Bank Limited noting that FIIG has submitted an online application on its behalf for a Macquarie Cash Management Account. This e-mail will provide the Client with:

1. the Macquarie Cash Management Account Product Information Statement, Further Information Guide and Fees, limited and lodgement times documents; and
2. a link allowing the Client to review and submit the application.

### B. Authority over existing Macquarie Cash Management Account

I/we grant FIIG authority over the below existing Macquarie Cash Management Account I/we hold, in accordance with the CCIT Agreement and nominate that account as my/our “Bank Account” for the purposes of the Client Custody Agreement Terms and Conditions. I/we request that FIIG transact, settle and otherwise deal with this Bank Account in accordance with the CCIT Agreement. I/we request that FIIG directly debit that Bank Account in accordance with the CCIT Agreement and the Direct Debit Terms and Conditions available at [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms). (Please refer to clause 1.1(A)(iii) of Section 11 and 1.5 (D) of Section 12 of this application form for additional information).

#### Nominated Bank Account

Please provide your existing Macquarie Bank Cash Management Account, this bank account must be in the same name as the Investment Entity in Section 1 above.

Bank

Account name

BSB

Account number

### C. Authority to direct debit Nominated Bank Account

I/we nominate the following bank account as my/our Nominated Bank Account in accordance with the CCIT Agreement and Deposit Service Authority (DSA) Agreement and grant FIIG authority to direct debit the Bank Account in accordance with the CCIT Agreement and the Direct Debit Terms and Conditions available at [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms). If your Nominated Bank Account does not have a Direct Debit facility, our client service team will contact you directly to discuss an alternative arrangement. (Please refer to clause 1.1(A)(iii) of Section 11 and 1.5 (E) of Section 12 of this application form for additional information).

Name of Bank

Account Holder Name (must be the same as Investment Entity Name):

BSB

Account number

## SECTION 10. NOMINATE YOUR PREFERRED PAYMENT METHOD

Tick the box below if you want Fees and other amounts deducted from your Distributions before such amounts are debited from your Bank Account. Otherwise, leave this section blank.

### Direct debit (default option)

Unless I/we tick the box below, I/We authorise and direct FIIG to:-

- attempt to debit my/our Bank Account nominated in Section 9 above for the amount of any Fees, expenses, outlays and any other amounts payable by me/us under or in connection with my/our Client Custody Agreement, as my/our preferred method of paying such amounts; and
- to the extent such amounts cannot be recovered from my/our Bank Account after 3 attempts, to deduct such amounts from my/our Distributions in accordance with my/our Client Custody Agreement.

**OR**

### Distribution deductions

I/We authorise and direct the Trustee to:

- deduct any Fees, expenses, outlays, and any other amounts payable by me/us under or in connection with my/our Client Custody Agreement from my/our Distributions, to the extent it is reasonably practicable for the Custodian to do so; and
- if it is not reasonably practicable to do so, or the amount of my/our Distributions is insufficient to meet all outstanding Fees, expenses, outlays, and any other amounts payable by me/us under or in connection with my/our Client Custody Agreement, debit my/our Bank Account nominated in Section 9 above for all such outstanding amounts.

## SECTION 11. DEPOSIT SERVICE AUTHORITY AGREEMENT

The Limited Power of Attorney (“LPOA”) in clause 1.1 below is granted for the purpose of authorising FIIG Securities Limited (“FIIG”) to undertake all instructions and actions or functions as necessary on behalf of the Client in connection with or to implement, complete or execute an application in relation to any deposit with an Authorised Deposit Taking Institution (“ADI”) as instructed by the Client or the Client’s Financial Advisor set out below in clause 1.1. Any document executed by FIIG under the LPOA may be executed by any two FIIG Authorised Signatories or Employees approved by FIIG in writing from time to time (the names of FIIG’s Authorised Signatories or Employees is provided as set out in the document titled FIIG’s Authorised LPOA Signatories from time to time).

### THE PARTIES TO THIS AGREEMENT ARE:

FIIG Securities Limited (“FIIG”)  
 ABN 68 085 661 632, AFSL No. 224659  
 of Level 31, 1 Eagle Street, Brisbane QLD 4000  
 AND

The Investor/Client (“the Client”) as set out in Section 1 of this FIIG Client Accounts Application Form (the “FIIG Client Accounts Application”)

The Deposit Service Authority Agreement (“DSA Agreement”) comprises:

- the Terms and Conditions of this DSA Agreement specified below; and
- the Terms and Conditions of Dealing with FIIG Securities Limited as set out in FIIG’s Financial Services Guide (“FSG”) a copy of which has been provided to you and is available at [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg)

**FIIG and the Client agree to be bound by this DSA Agreement in consideration of the promises and obligations to each other set out in this DSA Agreement.**

### Terms and Conditions

#### 1.1 Limited Power of Attorney (“LPOA”)

- A. The Client appoints FIIG and each of its employees and Authorised Signatories as the Client’s attorney (“Attorney”) with the necessary power and authority to undertake and perform on the Client’s behalf all actions necessary, usual or desirable to enable FIIG to perform all the functions and obligations necessary and any requirements from time to time, including (but without limitation) as instructed by the Client to:
- open or apply to open deposit accounts with an ADI including settling deposits, transactions, subscriptions for, transfers of and other dealings in cash products including but not limited to term deposits, savings accounts, at call deposits or accounts and any other investments included or to be included from time to time (“Deposits”);
  - complete and make an application for units or Deposits (including, if applicable, for the Client’s initial application), and request the redemption of units or Deposits from the Client’s cash products or cash product established for and on behalf of the Client by FIIG pursuant to this LPOA;
  - make withdrawals or debits from, and deposits or credits to, the Client’s cash products and Deposits and make deposits or credits to any Client bank account listed in the Nominated Bank Account in Section 9 of this FIIG Client Accounts Application;
  - Where the Client has selected Option A in Section 9. Nominated Bank Account - Your FIIG Funding Account the Client instructs FIIG to open a Macquarie Cash Management Account which is a deposit with Macquarie Bank Limited ABN 46 008 583 542 AFSL No. 237502 (“Macquarie Cash Management Account”) on its behalf in the name of the Investment Entity set out in Section 1 for the purposes of being the Client’s FIIG Funding Account.

#### 1.2 Authorisation for FIIG to receive a fee

- A. The Client acknowledges that in acting pursuant to this DSA Agreement for Deposits offered by ADI’s, FIIG makes a margin on the interest rate offered on the Deposit and the Client consents to FIIG retaining the margin. The interest rates quoted to the Client are net of FIIG’s margin which is likely to be 0.25% or less of the yield received on the Deposit.
- B. The Client authorises any ADI which holds a Deposit to pay to FIIG the applicable margin for acting as the broker for the Client’s Deposit pursuant to this DSA Agreement.

- C. The Client also authorises FIIG to instruct the ADI on its behalf to pay the margin to FIIG.

#### 1.3 Acceptance and acknowledgement – Client’s entry into the DSA Agreement with FIIG

- A. The Client confirms that before signing the FIIG Client Accounts Application they have received and read that form and:
- the Terms and Conditions of this DSA Agreement; and
  - the Terms and Conditions of Dealing with FIIG Securities Limited as set out in the FSG, a copy of which has been provided to the Client and is also available at [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg).
- B. The Client acknowledges that:
- they are bound by the terms of this DSA Agreement (as amended from time to time);
  - the DSA Agreement governs all the rights and obligations of each of the parties to this DSA Agreement; and
  - the relationship between the Client and FIIG pursuant to this DSA Agreement and any transactional services provided by FIIG to the Client are in accordance with the Terms and Conditions of Dealing as set out in the FSG.

#### 1.4 Notification of changes to the DSA Agreement from time to time

- A. The Client agrees that FIIG may:
- amend the terms and conditions of this DSA Agreement by providing 7 days’ written notice; and
  - following such notice any further services provided by FIIG will be on the basis of the amended DSA Agreement.
- B. The Client agrees that FIIG may by electronic means, including but not limited to email, send any notice or other written communication to the Client (and Client’s Authorised Signatory/ Financial Advisor), which will be valid notice of any matter as required in accordance with this DSA Agreement as at the date the electronic communication or email is sent to the Client and/or Authorised Signatory/Financial Advisor.

#### 1.5 Other important confirmations, acknowledgements and consents relating to the Client’s instructions and information to FIIG and FIIG’s activities and services

The Client agrees to, acknowledges and confirms the following:

- A. Information supplied by the Client to FIIG as set out in this FIIG Client Accounts Application is true and correct and if any of the Client information changes during the term of this DSA Agreement the Client will notify FIIG of any changes in writing.
- B. The Client has not received from FIIG, nor has FIIG provided to the Client any general or personal financial product advice that takes into account any objectives, financial situation or needs whatsoever in relation to the appropriateness or other wise of:
- entering into this DSA Agreement;
  - any transaction, investment or Deposit by the Client using FIIG on or before the entering into this DSA Agreement and from time to time; or
  - the Nominated Bank Account, in particular in relation to opening or providing authority over an existing Cash Management Account with Macquarie Bank Limited; or
  - any other matter. This includes the information available on FIIG’S Rolling Term Deposit portal and any rates sheets published by FIIG (as applicable). Both present factual information in relation to cash products and term deposits and FIIG does not provide any recommendations or statements of opinion on FIIG’S Rolling Term Deposit portal or the rates sheets.

- C. The Client acknowledges that FIIG will not consider any of the Client's personal or financial circumstances, situation, information, objectives, or needs whatsoever in relation to:
- i. providing any information to the Client or the Client's Authorised Signatory / Financial Advisor concerning or relating to any transaction, investment or Deposit by the Client using FIIG; or
  - ii. any other matter.
- D. The Client acknowledges that they have read the disclosures in FIIG's Financial Services Guide regarding the fees, commissions, profits, or other
- E. benefits or advantages that FIIG may receive as a result of acting on behalf of the Client in relation to any Deposits or the Client executing a deal or otherwise dealing with FIIG or a third party. The Client consents to FIIG receiving and retaining any such fees, commissions, profits, or other benefits or advantages. Information (including Client identification details and personal information) may be provided to ADIs providing products and Deposits, invested in by the Client or to agents appointed by FIIG to carry out relevant procedures and services, in order for FIIG and those entities to meet their obligations under the Anti-Money Laundering and Counter Terrorism Financing Act 2006, and under the Intergovernmental Agreement between the Australian and U.S. governments to improve international tax compliance and to implement FATCA ("IGA").
- F. The Client agrees to provide FIIG on request with any further information and/or documentation, to be provided to the ADIs providing products and Deposits in order for those ADIs to accept and open an account for the Client. The Client agrees to immediately notify FIIG if a change in its circumstances means that any of the information or documentation it has provided is no longer correct.
- G. The Client acknowledges that:
- i. FIIG's collection of the Client's TFN is authorised, and its use and disclosure is strictly regulated, by tax laws and the Privacy Act;
  - ii. they do not have to provide FIIG with their TFN, and declining to do so is not an offence;
  - iii. if they do not quote their TFN (including all TFNs for joint accounts), ABN, or claim an exemption, tax may be withheld from the interest paid to the Client at the highest marginal tax rate (plus Medicare Levy) or the Deposit refused;
  - iv. they may quote their entity's ABN as an alternative to the TFN if they are opening the account for purposes related to that entity's business. An Australian Company Number (ACN) cannot be quoted in lieu of a TFN/ABN. If only an ACN is provided tax may be withheld at the top marginal rate (plus Medicare Levy); and
  - v. if the Client does not provide all the information required in Sections 1-10, inclusive, FIIG, in its absolute discretion, may not accept this FIIG Client Accounts Application.
- H. The Nominated Bank Account indicated in Section 9 of this FIIG Client Accounts Application is in the same name as the Investment Entity indicated in Section 1.
- I. If applying on behalf of a company or trust, each signatory below is duly authorised to enter into and execute this DSA Agreement and use and access the Nominated Bank Account as set out in Section 9 for and on behalf of the Investment Entity/Client.
- J. The Client appoints the person listed as the Authorised Signatory/ Financial Advisor or primary contact in Section 7 of this FIIG Client Accounts Application to act for and on behalf of the Client pursuant to this DSA Agreement and provide instructions to FIIG, as required from time to time. This includes any instructions received through FIIG's Rolling Term Deposit portal, including what cash products and deposits the Financial Advisor, on behalf of the Client, may access and/or select on FIIG's Rolling Term Deposit portal. Any advice the Client receives is provided by the Client's Financial Advisor and not FIIG.

You consent to FIIG collecting and disclosing your information provided above to a credit reporting agency to electronically verify your identity against information held by the external party solely to meet FIIG's obligations pursuant to the **Anti-Money Laundering and Counter Terrorism-Financing Act 2006**. Your information will be maintained and used in accordance with FIIG's Privacy Statement in FIIG's FSG (see [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg)) and will not be shared with any other party without your consent other than as set out in the above DSA Agreement. In the event FIIG is unable to verify and identify the Client/Investor based on the information you provide, you may be asked to provide certified copies of the information and documentation including driver's licence, passport and trust deeds or any other such documentation as may be necessary to meet FIIG's regulatory obligations before a FIIG Client Account or Deposit is opened.

**Executed as an agreement by the Investment Entity/Client:**

*Note: all individuals indicated in Section 6 must sign here.*

- I/we are authorised to provide the personal information contained in this application on behalf of the Client and I/we confirm that all information supplied in this application form is true and correct.
- I/we authorise FIIG to provide my personal information to third parties or request confirmation from third parties (including document issuers) in order to verify the personal information or identity of the Client in accordance with FIIG's AML/CTF requirements.

Individual 1/Director 1/ Sole Director	Individual 2/Director 2/ Company Secretary	Individual 3/Director 3	Individual 4/Director 4
<i>Signature</i>	<i>Signature</i>	<i>Signature</i>	<i>Signature</i>
<i>Print name</i>	<i>Print name</i>	<i>Print name</i>	<i>Print name</i>
<i>Date</i>	<i>Date</i>	<i>Date</i>	<i>Date</i>

*Note: If executed by a duly authorised representative or signatory please include a copy of their authorisation (e.g. of the relevant power of attorney).*



## SECTION 12. AGREEMENT FOR OPENING A CLIENT CUSTODY AND INVESTMENT TRANSACTION ACCOUNT

### THE PARTIES TO THIS AGREEMENT ARE:-

FIIG Securities Limited (“FIIG”)  
 ABN 68 085 661 632, AFSL No. 224659  
 of Level 31, 1 Eagle Street, Brisbane QLD 4000 AND

The Investor/Client (“the Client”) as set out in Section 1 of this FIIG Client Account Application Form (the “FIIG Client Account Application”)

The Agreement for opening a Client Custody and Investment Transaction Account (“CCIT Agreement”) comprises:

- the terms and conditions numbered 1.1 to 1.5 of this CCIT Agreement;
- the Client Custody Agreement Terms and Conditions (“the Client Custody Agreement”). A copy of the Client Custody Agreement is available at [www.fiig.com.au/custodyterms](http://www.fiig.com.au/custodyterms); and
- the Terms and Conditions of Dealing with FIIG Securities Limited as set out in FIIG’s Financial Services Guide (“FSG”) a copy of which has been provided to you and is available at [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg).

**FIIG and the Client agree to be bound by this CCIT Agreement in consideration of the promises and obligations to each other set out in this CCIT Agreement.**

### Background

- A. The Client wishes to buy or sell or transact in fixed income financial investments or securities (the “Acquired Assets”), as agreed between the parties from time to time, using the services of FIIG as:
  - a. the dealer for the Client; and
  - b. the Custodian for the Client as set out in this CCIT Agreement and using their FIIG Client Account (the “Client’s Account”).
- B. FIIG as the Client’s Custodian has appointed another Australian Financial Service Licensee to provide custodial services to hold on FIIG’s behalf Acquired Assets that FIIG may hold as Custodian for the Client, under an agreement described as a Sub-Custody Account or a Global Custody Account (or similar) for foreign currency denominated securities. Unless otherwise notified in writing the current Sub-Custodian and Global Custodian appointed by FIIG is JP Morgan Chase Bank (“JP Morgan”) and any of JP Morgan’s related parties, as necessary to give effect to this appointment.
- C. The Client appoints FIIG as the Custodian to hold its Acquired Assets under a Client Custody Account on the terms and conditions contained in this CCIT Agreement.
- D. FIIG as the Client’s Custodian will maintain a separate account in the name of the Client which will recognise the Acquired Asset holding(s), securities or interests held by FIIG for the Client pursuant to this CCIT Agreement.
- E. The Client will remain at all times the beneficial owner of the Acquired Assets the subject of this CCIT Agreement held in custody by FIIG for and on behalf of the Client.
- F. FIIG will also act as Custodian for other clients and hold financial investment securities and assets for any party as agreed from time to time.

### Terms and Conditions

#### 1.1 Definitions

Terms used below that are defined in the Client Custody Agreement or the FSG have the same meaning.

#### 1.2 Acceptance and acknowledgement – client’s entry into CCIT Agreement with FIIG

- A. The Client confirms that before signing this FIIG Client Account Application they have received and read that form and:-
  - i. the Client Custody Account Terms and Conditions. A copy of the Client Custody Agreement is available at [www.fiig.com.au/custodyterms](http://www.fiig.com.au/custodyterms); and
  - ii. the Terms and Conditions of Dealing with FIIG Securities Limited as set out in FIIG’s Financial Services Guide, a copy of which has been provided to the Client and is also available at [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg).
- B. The Client acknowledges that:
  - i. they are bound by the terms of this CCIT Agreement (as amended from time to time); and
  - ii. the CCIT Agreement governs and the rights and obligations of each of the parties to this CCIT Agreement and:
    - a. the relationship between the Client and FIIG as their Custodian providing custody services to the Client as contemplated in the Client Custody Agreement; and
    - b. the relationship between the Client and FIIG as their dealer and any transactional services provided by FIIG to the Client in accordance with the Terms and Conditions of Dealing as set out in the FIIG Financial Services Guide.

#### 1.3 Appointment of FIIG as Custodian

- A. The Client appoints FIIG as the Custodian to hold its Acquired Assets under an account in accordance with this CCIT Agreement and FIIG will deposit and hold any Acquired Assets under an account for and on behalf of the Client in accordance with this CCIT Agreement.
- B. FIIG will comply with its obligations as an Australian Financial Services Licence holder in accordance with the Corporations Act and any other applicable legislation as amended from time to time.

#### 1.4 Notification of changes to the CCIT Agreement from time to time

- A. The Client agrees that FIIG may:
  - i. amend the terms and conditions of this CCIT Agreement by providing 7 days’ written notice; and
  - ii. following such notice any further services provided by FIIG will be on the basis of the amended CCIT Agreement.
- B. The Client agrees that FIIG may by electronic means, including but not limited to email, send any notice or other written communication to the Client (and Client’s Authorised Signatory/Financial Advisor set out in Section 7 of this FIIG Client Account Application), which will be valid notice of any matter as required in accordance with this CCIT Agreement as at the date the electronic communication or email is sent to the Client and/or Authorised Signatory/Financial Advisor.

## 1.5 Other important confirmations, acknowledgements and consents relating to Client's Instructions and Information to FIIG and FIIG's activities and services:

The Client agrees to, acknowledges and confirms the following:

- A. The information supplied by the Client to FIIG as set out in this FIIG Client Account Application is true and correct and if any of the Client information changes during the term of this CCIT Agreement the Client will notify FIIG of any changes in writing.
- B. The Client has not received any personal financial product advice from FIIG that takes into account any objectives, financial situation or needs whatsoever in relation to the appropriateness or otherwise of:
  - i. entering into this CCIT Agreement and transacting on a FIIG Client Account;
  - ii. any transaction, investment or security purchased or sold by the Client using FIIG on or before the entering into this CCIT Agreement and from time to time; or
  - iii. any other matter.
- C. Where the Client has selected Option A in Section 9. Nominated Bank Account - Your FIIG Funding Account:
  - i. the Client:
    - a. instructs FIIG to open a Macquarie Cash Management Account which is a deposit with Macquarie Bank Limited ABN 46 008 583 542 AFSL No. 237502 ("Macquarie Cash management Account") on its behalf in the name of the Investment Entity set out in Section 1 for the purpose of being the Client's FIIG Funding Account;
    - b. nominates that account as the "Bank Account" for the purposes of the Client Custody Agreement Terms and Conditions;
    - c. grants FIIG authority over that account in accordance with the CCIT Agreement in Section 12;
    - d. requests that FIIG transact, settle and otherwise deal with that nominated Bank Account in accordance with the CCIT Agreement; and
    - e. authorises FIIG to directly debit that nominated Bank Account in accordance with the CCIT Agreement and the Direct Debit/Credit Request Terms and Conditions available at [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms).
  - ii. FIIG will prepare an online application to Macquarie Bank Limited on behalf of the Client to open a Macquarie Cash Management Account. The Client will receive an e-mail from Macquarie Bank Limited noting that FIIG has submitted an online application on its behalf for a Macquarie Cash Management Account. This e-mail will provide the Client with:
    - a. the Macquarie Cash Management Account Product Information Statement, Further Information Guide and Fees, limited and lodgement times documents; and
    - b. a link allowing the Client to review and submit the application.
- D. Where the Client has selected Option B in Section 9. Authority over an existing Macquarie Cash Management Account:
  - i. the Client:
    - a. nominates that account as the "Bank Account" for the purposes of the Client Custody Agreement Terms and Conditions;
    - b. grants FIIG authority over that account in accordance with the CCIT Agreement in Section 12;
  - c. requests that FIIG transact, settle and otherwise deal with that nominated Bank Account in accordance with the CCIT Agreement;
  - d. authorises FIIG to directly debit that nominated Bank Account in accordance with the CCIT agreement and the Direct Debit/Credit Request Terms and Conditions available at [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms); and
  - e. appoints FIIG to have access to the account and have general withdrawal authority to transact, settle and otherwise deal with the account on behalf of the Client and in accordance with the CCIT Agreement.
- E. Where the Client has selected Option C in Section 9. Authority to Direct Debit Nominated Bank Account:
  - i. the Client:
    - a. nominates that account as the "Bank Account" for the purposes of the Client Custody Agreement Terms and Conditions;
    - b. authorise FIIG to directly debit that nominated Bank Account in accordance with the CCIT Agreement and the Direct Debit/Credit Request Terms and Conditions available at [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms);
    - c. authorise FIIG to act in accordance with the instructions provided in this application; and
    - d. confirms it has read and understood the Direct Debit Terms and Conditions available at [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms).
  - F. FIIG is irrevocably authorised and instructed by the Client to:
    - i. withdraw or deal with money deposited by the Client into the FIIG Client Trust Accounts or (if applicable) money held in deposit products as instructed by the Client in order to make payments for any transactions, investments or securities purchased by the Client, or its nominees, in accordance with contract notes, trade confirmations or any other notice issued by FIIG to the Client on the respective FIIG Client Account pursuant to this CCIT Agreement;
    - ii. take a charge, mortgage lien or other encumbrance over, or in relation to, the Client's Assets to the extent necessary for FIIG to satisfy any outstanding payment obligation of the Client in relation to any Fees payable to FIIG under the Client Custody Agreement or FIIG's Financial Services Guide: and
    - iii. deduct any Fees, expenses, outlays and any other amounts payable by the Client to FIIG, to the extent reasonably practicable, from Distributions in accordance with clause 12.5 of the Client Custody Account Terms and Conditions before FIIG debits other amounts from the Client's Bank Account, if:
      - a. the Client has selected (in Section 10 of this FIIG Client Account Application) Distribution deductions as its preferred payment method for Fees, expenses, outlays, and any other amounts payable by the Client under this Agreement; or
      - b. the client has not selected Distribution deductions as its preferred payment method for Fees, expenses, outlays, and any other amounts payable by the Client under this Agreement, to the extent that the Custodian is not able to recover all Fees, expenses, outlays, and any other amounts payable by the Client by debiting the Bank Account in accordance with clause 12.4 of the Client Custody Account Terms and Conditions).
    - iv. convert amounts from one currency into another in accordance with the procedures contained in clause 12.8 of the Client Custody Account Terms and Conditions.

- G. FIIG is authorised and instructed to deposit and hold the Client's securities and payments in custody with FIIG's Custodial Service or as otherwise instructed in writing.
- H. The Client will not be entitled to or receive interest payable on any money, cash or funds deposited or held by FIIG for and on behalf of the Client in any FIIG Client Trust Account(s) or Custodian Account. FIIG will retain any such interest or benefit accrued on its trust accounts.
- I. The Client acknowledges that they have read the disclosures in the FIIG's Financial Services Guide regarding the fees, commissions, profits, or other benefits or advantages that FIIG may receive as a result of the Client executing a deal or otherwise dealing with FIIG or a third party. The Client consents to FIIG receiving and retaining any such fees, commissions, profits, or other benefits or advantages. In particular, the client acknowledges that FIIG makes a margin on the interest rate offered on the Funding Account (as defined in the Client Custody Agreement Terms and Conditions), and the Client consents to FIIG retaining the margin. The interest rates quoted to the Client in relation to the Funding Account are net of FIIG's margin, which is likely to be 0.25% or less of the yield received in relation to the Funding Account.
- J. The Client will immediately inform FIIG if their circumstances change whereby the Client no longer qualifies as a 'wholesale client' as that term is defined in section 761G of the Corporations Act 2001 (Cth), (if applicable as set out in Section 4 of this FIIG Client Account Application).
- K. Information (including Client identification details and personal information) may be provided to issuers of securities, or to ADIs providing products and Deposits, invested in by the Client or to agents appointed by FIIG to carry out relevant procedures and services, in order for FIIG and those entities to:
- i. meet their obligations under the Anti-Money Laundering and Counter Terrorism Financing Act 2006;
  - ii. meet their obligations under the Intergovernmental Agreement between the Australian and U.S. governments to improve international tax compliance and to implement FATCA ("IGA"); and
  - iii. facilitate the payment of any investment funds or return funds to the Client.
- L. The Client agrees to provide FIIG on request with any further information and/or documentation requested for the purposes of FIIG's obligations under the Anti-Money Laundering and Counter-Terrorism Financing Act and Regulation and the IGA. The Client agrees to immediately notify FIIG if a change in their circumstances means that any of the information or documentation it has provided is no longer correct.
- M. The Client acknowledges that:
- i. FIIG's collection of the Client's TFN is authorised, and its use and disclosure is strictly regulated, by tax laws and the Privacy Act;
  - ii. they do not have to provide FIIG with their TFN, and declining to do so is not an offence;
  - iii. if they do not quote their TFN (including all TFNs for joint accounts), ABN, or claim an exemption, tax may be withheld from the interest paid to the Client at the highest marginal tax rate (plus Medicare Levy);
  - iv. they may quote their entity's ABN as an alternative to the TFN if they are opening the account for purposes related to that entity's business. An Australian Company Number (ACN) cannot be quoted in lieu of a TFN/ABN. If only an ACN is provided tax may be withheld at the top marginal rate (plus Medicare Levy); and
- v. if the Client does not provide all the information required in Sections 1-12, inclusive, FIIG, in its absolute discretion, may not accept this FIIG Client Accounts Application.
- N. The Nominated Bank Account indicated in Section 9 of this FIIG Client Account Application is in the same name as the Investment Entity indicated in Section 1.
- O. As applicable, the Client has read the Terms and Conditions governing the Direct Debit/Credit Request and authority provided to FIIG and set out in Section 9 of this FIIG Client Account Application (applicable only if Direct Debit/Credit option selected in this FIIG Client Account Application). See [www.fiig.com.au/DDterms](http://www.fiig.com.au/DDterms).
- P. If applying on behalf of a company or trust, each signatory below is duly authorised to enter into and execute this CCIT Agreement and the Nominated Bank Account as set out in Section 6 for and on behalf of the legal entity/Client.
- Q. If the signatory below is entering into this CCIT Agreement on behalf of a Client which is a company or a trust/ superannuation fund and the Client is being qualified as a wholesale client and sophisticated investor for the purposes of the Corporations Act on the basis that:
- i. the Client is controlled by the signatory; and
  - ii. the signatory meets the asset or income criteria specified in sections 761G(7)(c) and 708(8)(c) of the Corporations Act and related regulations, then the signatory represents and warrants that they have 'control' of the Client within the meaning of section 50AA of the Corporations Act.
- R. The Client appoints the person listed as the Authorised Signatory/Financial Advisor or primary contact in the FIIG Client Account Application to act for and on behalf of the Client pursuant to this CCIT Agreement and provide instructions to FIIG, as required from time to time.



You consent to FIIG collecting and disclosing your information provided above to a credit reporting agency to electronically verify your identity against information held by the external party solely to meet FIIG's obligation pursuant to the Anti-Money Laundering and Counter Terrorism-Financing Act 2006. Your information will be maintained and used in accordance with FIIG Privacy Statement in FIIG's FSG (see [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg)) and will not be shared with any other party without your consent. In the event FIIG is unable to verify and identify the Client/Investor based on the information you provide, you may be asked to provide certified copies of the information and documentation including driver licence, passport and trust deeds or any other such documentation as may be necessary to meet FIIG's regulatory obligations before a FIIG Client Account is opened.

**Executed as an agreement by the Investment Entity/Client:**

Note: all individuals indicated in Section 6 must sign here.

- I/we are authorised to provide the personal information contained in this application on behalf of the Client and I/we confirm that all information supplied in this application form is true and correct.
- I/we authorise FIIG to provide my personal information to third parties or request confirmation from third parties (including document issuers) in order to verify the personal information or identity of the Client in accordance with FIIG's AML/CTF requirements.

Individual 1/Director 1/ Sole Director	Individual 2/Director 2/ Company Secretary	Individual 3/Director 3	Individual 4/Director 4
Signature	Signature	Signature	Signature
Print name	Print name	Print name	Print name
Date	Date	Date	Date

**SIGN  
HERE** 

Note: If executed by a duly authorised representative please include a copy of their authorisation (eg of the relevant power of attorney).

**! COMPLETE THE CHECKLIST BELOW OF THIS DOCUMENT BEFORE SENDING YOUR APPLICATION**

**CHECKLIST TO COMPLETE YOUR FIIG CLIENT ACCOUNTS APPLICATION**

Complete this checklist after you have completed the FIIG Client Accounts Application Form on pages 3–15. You are not required to send the completed checklist to us. It is included to help ensure you provide all of the relevant information and paperwork to open your FIIG Client Accounts.

**CHECKLIST ITEMS FOR ALL APPLICANTS**

Please ensure you can respond with a Yes to the following statements before you send the FIIG Client Accounts Application Form to FIIG.

- I have completed the FIIG Client Accounts Application Form (Sections 1 to 12, inclusive) and executed Section 11 (Deposit Service Authority Agreement) and Section 12 (Agreement for opening a Client Custody and Investment Transaction Account).
- All Authorised Signatories/Financial Advisors have executed the FIIG Client Accounts Application Form by completing their details and signing in Section 7 (Financial Advisor Details).
- I have provided the following identification requirements:
  - At least one piece of certified photo ID i.e. passport or driver's licence;
  - For SMSF or trusts, certified copy of trust deed extract;
  - For companies, certificate of incorporation (less than three months old); and
  - A copy of a recent bank statement if you fund by direct debit.
- I have completed the FIIG Funding Account details in (Section 9). If my funding option is Direct Debit, I have provided a copy of a recent bank statement.
- For those applicants who completed Section 4 – Wholesale Client, I have provided my Accountant's details in Section 4 of this FIIG Client Accounts Application Form or I have attached the Wholesale Certificate which my Accountant has completed.

**SEND YOUR COMPLETED AND SIGNED FIIG CLIENT ACCOUNTS APPLICATION TO:**

**Client Services**

**FIIG Securities Ltd**

**REPLY PAID 1186**

**BRISBANE QLD 4001**

**or email your application to [clientservices@fiig.com.au](mailto:clientservices@fiig.com.au)**

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