

# Opening a Managed Portfolio Account

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Opening a Managed Portfolio Account with FIIG Securities Limited

ABN 68 085 661 632 | AFSL holder number 224659

1 July 2024

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### Inconsistency

To the extent of any inconsistency between this document and the FIIG Managed Income Portfolio Services Information Memorandum, Investment Management Agreement or Client Custody Agreement, the terms of the Managed Income Portfolio Services Information Memorandum, Investment Management Agreement and Client Custody Agreement prevail.

### Investment available to Wholesale Clients only, no cooling off period

Investments in fixed income using FIIG Managed Income Portfolio Service (MIPS) is only available to “Wholesale Clients” (within the meaning of section 761G of the Corporations Act 2001 (Cth)). You may only apply for a Managed Portfolio Account by completing the Managed Portfolio Account Application Form. As Wholesale Clients, investors in the Managed Income Portfolio Service will not receive a product disclosure statement and will not have any cooling off rights.

The MIPS Information Memorandum is not a prospectus or product disclosure statement for the purposes of the Corporations Act and has not been lodged with the Australian Securities and Investments Commission (ASIC).

### No offer outside Australia

Neither this document or the MIPS Information Memorandum constitute an offer in any jurisdiction in which, or to any person to whom, it would not be lawful to make such an offer. No action has been taken to register or qualify the interests or the offer, or to otherwise permit a public offering of interests in any jurisdiction outside Australia.

Information in the MIPS Information Memorandum and this document is subject to change from time to time. Investors in MIPS will be notified of any updates, and a paper copy explaining any changes will be available on request.

### No personal advice

FIIG Securities Limited provides general advice only. As a result, this document, the MIPS Information Memorandum, the Managed Portfolio Account Application Form 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 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, the MIPS Information Memorandum or the Managed Portfolio Account Application Form. Nor do they accept any liability or responsibility arising in any way (including negligence) for errors in, or omissions from, this document, the MIPS Information Memorandum or the Managed Portfolio Account Application Form. 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, the MIPS Information Memorandum or the Managed Portfolio Account Application Form. 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.

Investment via the Managed Income Portfolio Service is not a deposit with, or any other liability of, FIIG or any of its affiliates. It is subject to investment risk, including possible delays in selling your investments or repayment of withdrawal proceeds and loss of income and principal investment. FIIG does not sit behind or otherwise guarantee the capital value or investment performance of your investments via the Managed Income Portfolio Service.

Past performance of any product described in any communication from FIIG is not a reliable indication of future performance. Forecasts contained in this document and any communication from FIIG are predictive in character and based on assumptions 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. No liability is accepted for any unauthorised use of the information contained in this document, the MIPS Information Memorandum or the Managed Portfolio Account Application Form. FIIG is the owner of the copyright material in this document, the MIPS Information Memorandum and the Managed Portfolio Account Application Form unless otherwise specified. The MIPS Information Memorandum includes material from other sources. You should independently verify the material contained in the MIPS Information Memorandum

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Welcome and thank you for choosing FIIG Securities Limited ("FIIG"). This pack provides you with the documents and forms which you need to read, complete and return to us. Please provide all of the information requested on the following pages, relevant to your type of application. We use the information you provide to verify your identity and establish your Managed Portfolio Account(s) and Macquarie Cash Management Account(s). Terms defined in the Managed Income Portfolio Service Information Memorandum, the Investment Management Agreement or the Client Custody Agreement have the same meanings in this Application Form. Please provide ALL of the information requested below. 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 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. Information may also be provided in order for FIIG to meet its obligations in respect of tax reporting under the Intergovernmental Agreement ("IGA") between the Australian and U.S. Governments, implementing the Foreign Account Tax Compliance Act ("FATCA"), dated 28 April 2014, and under the OECD's Common Reporting Standard for Automatic Exchange of Financial Account Information ("CRS"), each as implemented into Australian law. Information gathered to meet FIIG's obligations under the IGA and CRS may be provided to the ATO.

## Funding Account

By completing this Application Form you authorise and instruct FIIG to open, operate and maintain a Macquarie Bank Limited ABN 46 008 583 542 Cash Management Account on your behalf, to be used as your Funding Account in accordance with the Managed Income Portfolio Service ('MIPS') Information Memorandum.

**As a client of MIPS you will maintain view only access on the Cash Management Account and have to submit all account related actions including withdrawals and customer details changes through FIIG.**

If you need our assistance to complete the account opening process we are happy to help. Simply contact us on 1800 01 01 82 or email [clientservices@fiig.com.au](mailto:clientservices@fiig.com.au).

## 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   
  SMSF   
  Other (describe below)
- Company   
  Trust (e.g. Family or discretionary)

*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>

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

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.

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

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

**Company/organisation details** (Complete only if you have selected Company or Other in the Investment Entity structure section above)

<i>Company name</i>	<i>ACN</i>
<i>Registered Australian address</i>	
<i>Principle place of business address</i>	

**Questions?** Call us on **1800 01 01 81**

or email us at [clientservices@fiig.com.au](mailto:clientservices@fiig.com.au)

## SECTION 2. SMSF & TRUSTEE AND BENEFICIARY DETAILS - Complete only if the Investment Entity is a SMSF or Trust

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

### Settlor Information

Full name of Settlor of the trust

Settlor Residential Address

Settlor Tax Residency Country

### Trustee Type

If the investment account is for a SMSF or trust please tick one of the boxes below

Individual Trustee(s)     Company/Corporate Trustee

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

Company name

ABN/ACN

Regulator name for regulated trust

Please provide details of the listed trust beneficiaries

### Full Name 1

Full Name

Beneficiary Tax Residency Country

Date of Birth

Residential Address (no PO Box allowed)

### Full Name 2

Full Name

Beneficiary Tax Residency Country

Date of Birth

Residential Address (no PO Box allowed)

### Full Name 3

Full Name

Beneficiary Tax Residency Country

Date of Birth

Residential Address (no PO Box allowed)

### Full Name 4

Full Name

Beneficiary Tax Residency Country

Date of Birth

Residential Address (no PO Box allowed)

You are not required to provide the details of Beneficial Owners or controllers for company or corporate trustee applications as FIIG obtains this information from public records.

## SECTION 3. WHOLESALE CLIENT STATUS

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

To invest in this product you must be a wholesale client. Please download the Wholesale Client Certificate at [fiig.com.au/wholesale](http://fiig.com.au/wholesale) OR provide your accountant's details below and we will send it to them for you.

Accountant Name and Company (if relevant)

Accountant Email Address

Accountant Phone Number

Questions? Call us on 1800 01 01 81

or email us at [clientservices@fiig.com.au](mailto:clientservices@fiig.com.au)

## SECTION 4. INVESTOR / TRUSTEE / DIRECTOR / AUTHORISED SIGNATORY DETAILS

Individual 1 will be the primary contact. (i.e. the person FIIG will contact first unless you instruct otherwise in writing). If the primary contact is a financial adviser, you can include their details and nominate them as the primary contact in Section 5.

FIIG will use the below information to electronically verify the identity of Investors, Trustees, Directors and Authorised Signatories where possible. FIIG may request certified ID where this is not possible.

For company accounts at least two Directors' details are required, with the exception of Sole Director companies.

### INDIVIDUAL 1

Given name(s)	<input type="text" value="First"/>	<input type="text" value="Middle"/>
Surname	<input type="text"/>	
Other Name	<input type="text"/>	
Salutation (Mr, Mrs) & Date of birth	<input type="text" value="Sal."/>	<input type="text" value="Date of birth"/>
Occupation	<input type="text"/>	

Yes  No Is this individual an authorised signatory (i.e. authorised to instruct on this account)? Note: authorised signatories will receive copies of contract notes, reports/statements and FIIG's updated Financial Services Guide unless otherwise nominated in Section 5.

#### Residential address

Street no. & name	<input type="text"/>	
Suburb	<input type="text"/>	
State & postcode	<input type="text" value="State"/>	<input type="text" value="Postcode"/>
Country	<input type="text"/>	
Time at address	<input type="text" value="Years"/>	<input type="text" value="Months"/>
Email address	<input type="text"/>	
Phone	<input type="text" value="H"/>	<input type="text" value="M"/>

#### Valid driver's licence details

Licence no.	<input type="text"/>	<input type="text" value="State"/>
Licence card no.	<input type="text"/>	

#### Valid passport details

Passport no.	<input type="text"/>
Issuing country	<input type="text"/>
Full name on Passport	<input type="text"/>

(If different from above)

Tick if you do not have a valid passport or licence

#### 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

Given name(s)	<input type="text" value="First"/>	<input type="text" value="Middle"/>
Surname	<input type="text"/>	
Other Name	<input type="text"/>	
Salutation (Mr, Mrs) & Date of birth	<input type="text" value="Sal."/>	<input type="text" value="Date of birth"/>
Occupation	<input type="text"/>	

Yes  No Is this individual an authorised signatory (i.e. authorised to instruct on this account)? Note: authorised signatories will receive copies of contract notes, reports/statements and FIIG's updated Financial Services Guide unless otherwise nominated in Section 5.

#### Residential address

Street no. & name	<input type="text"/>	
Suburb	<input type="text"/>	
State & postcode	<input type="text" value="State"/>	<input type="text" value="Postcode"/>
Country	<input type="text"/>	
Time at address	<input type="text" value="Years"/>	<input type="text" value="Months"/>
Email address	<input type="text"/>	
Phone	<input type="text" value="H"/>	<input type="text" value="M"/>

#### Valid driver's licence details

Licence no.	<input type="text"/>	<input type="text" value="State"/>
Licence card no.	<input type="text"/>	

#### Valid passport details

Passport no.	<input type="text"/>
Issuing country	<input type="text"/>
Full name on Passport	<input type="text"/>

(If different from above)

Tick if you do not have a valid passport or licence

#### 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)

Questions? Call us on 1800 01 01 81

or email us at [clientservices@fiig.com.au](mailto:clientservices@fiig.com.au)

INDIVIDUAL 3	
Given name(s)	<input type="text" value="First"/> <input type="text" value="Middle"/>
Surname	<input type="text"/>
Other Name	<input type="text"/>
Salutation (Mr, Mrs) & Date of birth	<input type="text" value="Sal."/> <input type="text" value="Date of birth"/>
Occupation	<input type="text"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is this individual an authorised signatory (i.e. authorised to instruct on this account)? Note: authorised signatories will receive copies of contract notes, reports/statements and FIIG's updated Financial Services Guide unless otherwise nominated in Section 5.
<b>Residential address</b>	
Street no. & name	<input type="text"/>
Suburb	<input type="text"/>
State & postcode	<input type="text" value="State"/> <input type="text" value="Postcode"/>
Country	<input type="text"/>
Time at address	<input type="text" value="Years"/> <input type="text" value="Months"/>
Email address	<input type="text"/>
Phone	<input type="text" value="H"/> <input type="text" value="M"/>
<b>Valid driver's licence details</b>	
Licence no.	<input type="text"/> <input type="text" value="State"/>
Licence card no.	<input type="text"/>
<b>Valid passport details</b>	
Passport no.	<input type="text"/>
Issuing country	<input type="text"/>
Full name on Passport	<input type="text"/>
<i>(If different from above)</i>	
<input type="checkbox"/> Tick if you do not have a valid passport or licence	
<b>Source of Funds or Wealth (must tick one only)</b>	
<input type="checkbox"/> Income (i.e., employment, investment, business, other earnings)	
<input type="checkbox"/> One-off payment (i.e., matured investment, legal settlement, estate proceeds)	
<input type="checkbox"/> Sale of assets (i.e., shares, property)	
<input type="checkbox"/> Windfall (i.e., gifts, winnings)	

INDIVIDUAL 4	
Given name(s)	<input type="text" value="First"/> <input type="text" value="Middle"/>
Surname	<input type="text"/>
Other Name	<input type="text"/>
Salutation (Mr, Mrs) & Date of birth	<input type="text" value="Sal."/> <input type="text" value="Date of birth"/>
Occupation	<input type="text"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is this individual an authorised signatory (i.e. authorised to instruct on this account)? Note: authorised signatories will receive copies of contract notes, reports/statements and FIIG's updated Financial Services Guide unless otherwise nominated in Section 5.
<b>Residential address</b>	
Street no. & name	<input type="text"/>
Suburb	<input type="text"/>
State & postcode	<input type="text" value="State"/> <input type="text" value="Postcode"/>
Country	<input type="text"/>
Time at address	<input type="text" value="Years"/> <input type="text" value="Months"/>
Email address	<input type="text"/>
Phone	<input type="text" value="H"/> <input type="text" value="M"/>
<b>Valid driver's licence details</b>	
Licence no.	<input type="text"/> <input type="text" value="State"/>
Licence card no.	<input type="text"/>
<b>Valid passport details</b>	
Passport no.	<input type="text"/>
Issuing country	<input type="text"/>
Full name on Passport	<input type="text"/>
<i>(If different from above)</i>	
<input type="checkbox"/> Tick if you do not have a valid passport or licence	
<b>Source of Funds or Wealth (must tick one only)</b>	
<input type="checkbox"/> Income (i.e., employment, investment, business, other earnings)	
<input type="checkbox"/> One-off payment (i.e., matured investment, legal settlement, estate proceeds)	
<input type="checkbox"/> Sale of assets (i.e., shares, property)	
<input type="checkbox"/> Windfall (i.e., gifts, winnings)	

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## SECTION 5. ADVISER DETAILS (if applicable)

Please provide details of your adviser. By appointing an adviser under this section you nominate the adviser as the primary contact and authorised signatory for this account.

<input type="text" value="Adviser Given Name(s)"/>	<input type="text" value="Adviser Surname"/>
<input type="text" value="Adviser's business name"/>	<input type="text" value="AFSL number"/>
<input type="text" value="Back Office Email. This address will receive account statements, contract notes and coupon advices"/>	

**SIGN HERE** 

**By appointing the above adviser I authorise and consent to FIIG providing the adviser with my personal, transactional and investment information and data via their nominated data feed provider (i.e. Class Super, Praemium, XPlan) from time to time.**

Would the Client like access to FIIG's secure online portal, MyFIIG, to view contact notes, coupon advices, reports and statements?  Yes  No

If you are an adviser opening a client account for the first time with FIIG Securities Limited please also complete the Adviser On-boarding Form at [www.fiig.com.au/adviseronboarding](http://www.fiig.com.au/adviseronboarding)

## Adviser Fee Details

For clarity, your Adviser Service Fee is not a payment to FIIG or a payment by FIIG. I have authorised my Adviser to receive the following fees:

### Upfront Adviser Service Fee (to a maximum 2.2%)

This fee will be deducted from your Funding Account and paid to your Adviser. This is calculated as either a percentage (up to 2.2%) of your initial investment, or it can be a fixed dollar amount. The fee stated must include GST. If there is no instruction, no Upfront Adviser Service Fee will be paid.

<input type="text" value=""/>	%	or	\$	<input type="text" value=""/>
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### Ongoing Adviser Service Fee (to a maximum 1.1% p.a.)

This fee will be deducted directly from your Funding Account in arrears and paid to your Adviser. This is calculated daily as a percentage, up to 1.1% per annum of the value of your Managed Portfolio Account. The fee stated must include GST. If there is no instruction, no Ongoing Adviser Service Fee will be paid.

<input type="text" value=""/>	%
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Note: in order for your adviser to receive fees they must be registered for GST purposes

## SECTION 6. FATCA AND CRS SELF-CERTIFICATION

In accordance with the US FATCA legislation and paragraphs 1.5(K) and 1.5(L) of the CCIT Agreement, please complete the section below most applicable to your Investment Entity as provided in Section 1, Investment Entity Details. References to Investment Entity in this section do not take the meaning under FATCA and CRS.

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

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

- i. solely resident for tax purposes in Australia?  Yes  No
- ii. a U.S. citizen or U.S. resident for FATCA purposes?  Yes  No

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 – 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 have answered 'Yes', go to Section 7.

**PART C – COMPLETE IF: Trust or Company Investment Entity**

1. Is the Investment Entity a trust or company that operates in the U.S. and was incorporated or established in the U.S., or resident for tax purposes outside Australia, or a Foreign Financial Institution or Australian Financial Institution (for the purposes of FATCA or CRS, as applicable)?  Yes  No
2. Does the Investment Entity have Controlling Persons who are residents for tax purposes outside Australia?  Yes  No

*Note: Controlling Persons means any individual who ultimately beneficially owns 25% or more of an entity or controls the entity, including through a chain of ownership by means other than direct control. For trusts, this can include beneficiaries, trustees and settlors.*

If you answered 'Yes' to Part C (1) or 'Yes' to Part C (2) FIIG may be unable to proceed with the application for this Investment Entity.

**SECTION 7. MANAGED INCOME PORTFOLIO SERVICE INVESTMENT DETAILS**

**Please provide details of your selected Investment Program**

Select your Investment Program (please tick and provide initial investment amount). In the case of multiple Investment Programs, you are required to hold a Funding Account for each investment program. You instruct FIIG to apply for, operate and maintain a Macquarie Cash Management Account (CMA) on your behalf, which will act as the Funding Account for each Investment Program

- Conservative Income Investment Program  (min \$1 million)
- Income Plus Investment Program  (min \$1 million)
- Customised Investment Program *(You will agree to a customised mandate, The investment mandate will form part of this agreement. The mandate should be agreed before executing this form and provided to FIIG with this form.)*  (min \$10 million)

*Note: If you have selected customised option, please complete the mandate template in Section 10 with your FIIG Representative.*

The investment objectives and parameters for the Conservative Income Investment Program and the Income Plus Investment Program are set out in sections 3.1 and 3.2 of the MIPS Information Memorandum. You can choose the parameters for your Customised Investment Program by completing section 10 of this Managed Portfolio Account Application Form or by Instruction to FIIG. Where you invest in more than one Investment Program, you and FIIG will enter into a separate Investment Management Agreement with respect to each Investment Program. FIIG will, on your behalf, instruct the Custodian to maintain a separate custody account for each Investment Program in which you invest.

**SECTION 8. CUSTODY FEE PAYMENT METHOD**

**How would you like to fund your investment?**

- Cash Transfer - we will provide you with Funding Account details for your initial deposit.
- Transferring existing fixed income assets that you hold into your Managed Portfolio Account. This is subject to FIIG's approval.
- A combination of the above. This is subject to FIIG's approval and we will contact you to confirm details of the transfer.

**Funding Account**

You authorise and instruct FIIG to open, operate and maintain a Macquarie Bank Limited ABN 46 008 583 542 Cash Management Account on your behalf, to be used as your Funding Account in accordance with the Managed Income Portfolio Service Information Memorandum.

## SECTION 9. COUPON REINVESTMENTS

If you do not complete this section, your coupon/interest payments will remain in your Funding Account and will be reinvested.

Do you want your coupon/interest payments reinvested?

- Yes - By choosing this option coupon payments will remain in your Funding Account and will be reinvested.
- No - Please complete the bank account details for automatic transfer of coupon and interest payments received (net of fees and expenses and subject to maintaining the required minimum balance in your Funding Account).

Note: the account name must match the Investment Entity named in Section 1.

Bank	<input type="text"/>		
Account name	<input type="text"/>		
BSB	<input type="text"/>	Account Number	<input type="text"/>

## SECTION 10. AGREEMENT AND SIGNATURE

### Acknowledgements, agreements, representations and warranties

#### 10.1. You acknowledge and agree that:

- a. You have read and agree to be bound by:
  - the terms of the Investment Management Agreement.
  - the terms of the Client Custody Agreement which can be downloaded at [www.fiig.com.au/custodyterms](http://www.fiig.com.au/custodyterms), subject to the following additional terms:
    - i. FIIG may:
      - a. amend the terms and conditions of the Client Custody Agreement by providing 7 days' written notice to you; and
      - b. following such notice any further services provided by FIIG will be on the basis of the amended Client Custody Agreement.
    - ii. FIIG may by electronic means, including but not limited to email, send any notice or other written communication to you, which will be valid notice of any matter as required in accordance with the Client Custody Agreement as at the date the electronic communication or email is sent to you.
    - iii. Despite clause 20.1 of the Client Custody Agreement, FIIG may assign or novate its rights and obligations under the Client Custody Agreement to any of its related bodies corporate by giving not less than 5 Business Days' written notice to you.
- b. You are an Australian resident for the purposes of Australian taxation laws.
- c. You have read and agree to be bound by the terms of your Managed Portfolio Account Form.
- d. Under the Client Custody Agreement you appoint FIIG as your custodian to hold the Acquired Assets, including the Assets in your Managed Portfolio Account. You and FIIG will be bound by the Client Custody Agreement with effect on and from the Effective Date.
- e. You appoint FIIG, in its capacity as the manager under the Investment Management Agreement, as an "Authorised Person" for the purposes of your Client Custody Agreement.
- f. This Managed Portfolio Account Application Form will comprise the "FIIG Client Account Application Form" for the purposes of your Client Custody Agreement.
- g. You indemnify FIIG and any other entity involved in this offering against any loss, liability, damage, claim, cost or expense incurred as a result of any information, representation, declaration, statement, acknowledgment or confirmation in this Managed Portfolio Account Application Form being untrue or incorrect.
- h. You have received a copy of the Financial Services Guide ("FSG") which is downloadable at [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg). If, at any time, your Investment Management Agreement has terminated, but your Client Custody Agreement remains in force, you agree to be bound by the Terms and Conditions of Dealing with FIIG as set out in the FSG.
- i. FIIG is authorised and instructed to withdraw or deal with money deposited by you or on your behalf into a FIIG trust account, your Funding Account(s) or (if applicable) money held in deposit products as instructed by you, in order to make payments for any transactions, investments or securities purchased by you, or your nominees, in accordance with contract notes, trade confirmations or any other notice issued by FIIG to you in connection with the Client Custody Agreement and, if applicable, the Terms and Conditions of Dealing with FIIG as set out in the FSG.
- j. FIIG is authorised and instructed to deposit and hold your securities and payments in custody with FIIG's Custodian Service or as otherwise instructed in writing.
- k. You 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 you in any FIIG trust account or Custody Account. FIIG will retain any such interest or benefit accrued on its trust accounts.
- l. You have not received any personal financial product advice from FIIG that takes into account any of your objectives, financial situation or needs.
- m. FIIG provides general financial product advice only and does not, and is not authorised under its AFSL to, provide to you or give you any personal advice. Any financial product advice that FIIG provides to you in relation to the Managed Income Portfolio Service or the Custodian Service is general advice only and does not take into account your objectives, financial situation or needs.
- n. You have not relied on any statements or representations made by FIIG or any of its related bodies corporate or agents, or any employee, officer or contractor of any of them.
- o. You are a "wholesale client" as defined in section 761G of the Corporations Act.

- p. You will immediately notify FIIG if your circumstances change whereby you no longer qualify as a “wholesale client” as defined in section 761G of the Corporations Act.
- q. 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 the MIPS Information Memorandum or any advice provided by FIIG. To the maximum extent permitted by law, none of these parties accepts any liability or responsibility arising in any way (including negligence) for errors in, or omissions from, this document or such advice.
- r. You direct FIIG to pay the Adviser Service Fees specified in Section 7 of this Managed Portfolio Account Application Form.
- s. You authorise FIIG to complete any blanks and make any amendments or additions with respect to any part of this Managed Portfolio Account Application Form on your behalf.
- t. You are not investing in the Managed Income Portfolio Service as trustee for a trust unless you have provided FIIG with the details of the trust, or as an agent.
- u. If you are signing this Managed Portfolio Account Application Form in a capacity other than a personal capacity, in addition to being bound in such a capacity, you agree to also be bound in your personal capacity.
- v. Your information (including identification details) may be provided to issuers of securities, or to Authorised Deposit-taking Institutions (ADIs) providing products, invested in by you in your Managed Portfolio Account and to custodians 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 or to facilitate the operation of your Managed Portfolio Account.
- w. You agree 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 2006 and related regulations 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.
- x. If the Investment Entity (the “Client”) set out in section 1 of this Managed Portfolio Account Application Form is an entity such as a company or trust, each signatory below is duly authorised to execute this Managed Portfolio Account Application Form for and on behalf of the legal entity/Client.
- y. If the signatory below is applying on behalf of a Client which is an entity such as a company or trust/superannuation fund, and the Client is qualified as a wholesale client for the purposes of the Corporations Act on the basis that:
- the Client is controlled by the signatory;
  - 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;
  - the Client has the benefit of an accountant’s certificate identifying them to have net assets of at least \$2,500,000 or gross income of at least \$250,000 per annum over the last two years, is entitled to be a wholesale client and not entitled to the various protections provided to retail clients under the Corporations Act 2001. The Corporations Act 2001 also entitles a person who controls the Client to be a wholesale client. If the controller is a wholesale client, the Client will also be considered to be a wholesale client.
- in signing this form you and the Client will be treated as wholesale clients because you are able to control decisions made by the Client entering into this agreement with FIIG.
- z. You appoint the person listed as the Authorised Signatory, financial adviser or primary contact in this Managed Portfolio Account Application Form to act for you and on your behalf pursuant to the MIPS Contract and to provide instructions to FIIG, as required from time to time.

**10.2 You represent and warrant that:**

- a. All information that you have provided to FIIG, including all of the information in this Managed Portfolio Account Application Form is true, complete and correct and not in any way misleading. If any such information changes you will immediately notify FIIG in writing.
- b. You have received independent accounting, financial, taxation and legal advice, tailored to your specific objectives, financial situation or needs, prior to making any investment decision or completing this Managed Portfolio Account Application Form.
- c. If you are signing this Managed Portfolio Account Application Form under a power of attorney, the power of attorney authorises the signing of this application form and the entry into the Managed Income Portfolio Service Contract, and no notice of revocation has been received.

**10.3 By signing the Managed Portfolio Account Application Form you acknowledge and agree that:**

- a. You have read and understood the Managed Income Portfolio Service Information Memorandum (dated 1 July 2024) including the information concerning FIIG’s actual or potential conflicts of interest.
- b. In offering the Managed Income Portfolio Service, FIIG’s interests could conflict with its duties to you.
- c. You consent to FIIG’s actual and potential conflicts of interest in connection with the Managed Income Portfolio Service, including those described in section 7 of the Managed Income Portfolio Service Information Memorandum (dated 1 July 2024) and any other actual or potential conflicts of interest disclosed to you from time to time, and to all revenue or other benefits FIIG may receive in connection with your Managed Portfolio Account(s) as described in the Information Memorandum.
- d. You consent to the disclosure of your personal information, including to overseas recipients, as described in the Managed Income Portfolio Service Information Memorandum (dated 1 July 2024).
- e. You understand that there is a risk of loss as well as a potential for profit, that it is not possible to guarantee profits or freedom from loss and that neither FIIG nor its representatives have given any assurance or made any representation of any expected return or profit in connection with your Managed Portfolio Account(s).
- f. You understand that due to the discretionary nature of your Managed Portfolio Account(s), you will not be consulted prior to FIIG entering into any transaction on your behalf.
- g. You understand that trading in financial markets and investments in financial products involves risk.

**Questions?** Call us on **1800 01 01 81**

or email us at [clientservices@fiig.com.au](mailto:clientservices@fiig.com.au)

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 Managed Portfolio Account is opened.

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

Note: all individuals indicated in Section 4 must sign here. (If additional signatories are required please copy this page).

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>

**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 BEFORE SENDING YOUR APPLICATION**

**YOUR CHECKLIST**

Complete this checklist after you have completed the Managed Portfolio Account Application Form on pages 3–9.

**CHECKLIST ITEMS FOR APPLICANTS**

This part of the checklist is relevant for all applications. These 4 items must be provided before we are able to begin the account opening process.

- I have read carefully:
  - The Managed Portfolio Account Application Form;
  - The Managed Income Portfolio Service Information Memorandum, including the Investment Management Agreement;
  - The Client Custody Agreement, which is available at [www.fiig.com.au/custodyterms](http://www.fiig.com.au/custodyterms);
  - The Financial Services Guide (FSG) a copy of which has been provided to you, or a copy is also available at [www.fiig.com.au/fsg](http://www.fiig.com.au/fsg);
  - Macquarie Cash Management Account Product Information Statement and Further Information Booklet (you can find these under <http://www.macquarie.com/au/personal/bankaccounts/cash-management>).
- I have completed the Managed Portfolio Account Application Form.
- I have attached a copy of the most recent bank statement (if I have nominated an account for coupon payments in Section 9).
- All Authorised Signatories have executed the Managed Portfolio Account Application Form by completing their details and signing in Section 12 as required.

**Complete this part of the checklist only if the Investment Entity indicated in Section 1 of the Application Form is an SMSF or trust applicant.**

- For SMSFs, I have provided a copy of the trust deed cover page, schedule page and execution page.
- For non SMSF trusts, I have provided a certified copy of the trust deed cover page, schedule page, execution page and pages that contain the full names of the trust deed settlor and list of beneficiaries.

**Complete this part of the checklist only if you have selected YES in Section 3 of the Application Form.**

- I have provided my accountant's details in Section 3 of the Application Form or I have attached the Wholesale Certificate which my accountant has completed.

**Send your completed application (pages 3–9 of this document) to**

[clientservices@fiig.com.au](mailto:clientservices@fiig.com.au)

Or you can post your application to

**FIIG Securities Ltd  
REPLY PAID 1186  
Brisbane, QLD 4001**