

Important Information

While AUSIEX and CommSec Adviser Services (CAS) have separated as of 1 May 2021, we will continue to supply certain services to each other during a period of transition while each business develops its own independent solutions.

This includes AUSIEX temporarily providing a secure website for CAS advisers so that you can view and manage all your clients CAS products and accounts.

During this transition period, to ensure that your request is processed correctly please complete only **one** of the following forms relating to the products you manage:

Products managed by Adviser	Form to complete	Where to send the form
Only ACA and/or CAS investment lending products	Please proceed to the following page to complete the CAS branded form	Return to CAS by email or post
ACA and/or CAS investment lending products <u>AND</u> trading with AUSIEX	For Adviser maintenance requests where an adviser has a CommBank ACA or investment lending product <u>AND</u> an AUSIEX trading product, please complete the AUSIEX branded forms available on the ausiex.com.au website.	Return to AUSIEX by eSubmit on Ausiex.com.au or by post. By completing the AUSIEX adviser form, you authorise AUSIEX to share your information with CAS to update CAS systems for the purpose of giving effect to the instructions contained in the form.

If you don't currently manage an active ACA and/or CAS Investment Lending Product and you only have access to manage active AUSIEX Trading accounts, please go to www.ausiex.com.au to obtain their adviser maintenance form.

We're here to help

If you have any questions, please contact us on **13 15 20** between 8.30am and 6pm (Sydney time), Monday to Friday.

We thank you for your support.

 This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically.

1. Additional/Assistant Adviser Details

A. Dealer Group Details – *Select one only*

AFSL holder

AFSL number Licensee name Full company name – *As registered by ASIC*

or Non-AFSL holder

Full company name – *As registered by ASIC* Australian Company Number (ACN)

B. Additional/Assistant Adviser Details

Mr Ms Mrs Miss Dr Other

First name Middle name/s Surname Date of birth – *DD / MM / YYYY* / /

Other name/s commonly known by – *If applicable* Authorised representative number Adviser's company name

C. Additional/Assistant Adviser Contact Details

Residential Address of the Adviser

Street address – *Cannot be a PO Box*

Suburb State Postcode Country – *If not Australia*

Registered Address of the Business

Street address

Suburb State Postcode

Country – *If not Australia*

Postal Address of the Business

Same as registered address

Street address

Suburb State Postcode

Country – *If not Australia*

Preferred Contact Method

Mobile number – *Mandatory*

Email address – *Mandatory*

Work number

Additional email address

2. Sole Trader Information

Complete this section if you are a sole trader.

Full business name – *If any*

Australian Business Number (ABN) – *Optional*

See [explanatory notes](#) at the end of this document.

Principle Place of Business

Street address – *Cannot be a PO Box*

Suburb

State

Postcode

Country – *If not Australia*

3. Additional/Assistant Adviser Setup Details

By completing this section you will gain access to the nominated primary adviser's clients.

A. Cash Management

I would like to register as an additional/assistant adviser for Cash Management with: View-only access

i To obtain full authority to operate the Accelerator Cash Account, please complete the 'Adviser Authority to Operate Form' available from the website.

Name of primary adviser you wish to have access to

Existing primary adviser number, adviser code or username

B. Investment Lending

I would like to register as an additional/assistant adviser for Investment Lending with: View-only access

Name of primary adviser you wish to have access to

Existing primary adviser number, adviser code or username

C. CALIA+

I would like to register as an additional/assistant adviser for CALIA+ with: View-only access

Name of primary adviser you wish to have access to

Existing primary adviser number, adviser code or username

4. Login Details for Online Access

By completing this section you will gain access to the nominated primary adviser's clients.

Temporary login password – 8 to 16 alphanumeric characters

Important Information

AUSIEX and the CBA Group will continue to work closely with each other leading up to and after the sale to support each other's systems during a period of transition and separation, including access to AUSIEX and CBA Group information, to perform their respective roles relating to your products and to continue to offer you a seamless customer experience.

5. Acknowledgements

I/We understand and acknowledge that the law requires applicants to provide true and correct information and state all the names by which they are commonly known. I/We also understand that the law prohibits the use of false names, as well as the giving, use or production of false or misleading information on documents in connection with an identification procedure. I/We declare that the information I/we have provided in this form is true and correct.

I/We declare:

- The additional/assistant adviser nominated has appropriate qualifications, training and experience;
- The additional/assistant adviser is an authorised representative of the Dealer Group;
- I/We have the relevant authorisations from the Dealer Group for the services applied for under this form;
- Where full trading rights has been nominated, the additional/assistant adviser is authorised to deal in securities;
- A copy of the Dealer Group Agreement and/or Dealer Terms of Trade has been provided to the additional/assistant adviser; and
- I/We have read and agree to the terms in the Dealer Group Agreement and/or Dealer Terms of Trade which relate to the provision of the nominated services.

I/We acknowledge that I/we am/are responsible to promptly inform the Bank if there is any change to my/our status as an authorised representative of an AFS licensee, or as a credit licensee or as a Director/Employee or as a credit representative of a credit licensee as applicable.

I/We consent to the collection, use and exchange of our/my personal information for the purposes of managing and maintaining my/our relationship with you, including confirming my/our identity, communicating with me/us, and complying with relevant laws and regulations. I/We understand that personal information collected, used or shared (including with third parties) will be in accordance with the terms outlined in the Privacy Policy available from the CommSec Adviser Services website and where applicable, AUSIEX website. I/We have read through your Privacy Policy as it contains important information on how CommSec Adviser Services handles personal information and details on how to raise privacy concerns and complaints.

I/We have read and agree to accept and abide by the Terms and Conditions for the relevant product or service prior to receiving any financial service. These, along with other legal documents are available on CommSec Adviser Services' website and where applicable, AUSIEX website and I/we agree to access these documents from the website.

Where applicable, I/we authorise CommSec Adviser Services to share my/our personal information with AUSIEX for the purpose of giving effect to the instructions contained in this form.

Additional Adviser/Assistant Adviser Signature

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Primary Adviser Signature

Full name Date – DD / MM / YYYY / /

Signature – *Must be signed pen to paper*

Where to from here?

Please attach copies of the following documents:

All applicants

Certified copy of Driver Licence or Passport

AFSL holders only

Authorised Representative Certificate or Employee Representative Certificate

Explanatory Notes

Australian Business Number (ABN), Tax File Number (TFN) or Exemption Code

Providing your ABN, TFN or Exemption Code is not compulsory, but if you do not, tax may be taken out of your interest at the highest marginal tax rate plus Medicare levy.

If you quote your TFN or ABN, you authorise the Participant to disclose it to its related bodies corporate, ASX Settlement Corporation, the provider of your cash management account, trustees, sponsors of your shareholdings and their agents and other issuers of securities for purposes relating to the securities in the trading account.


CommSec Adviser Services (CAS) is a brand of Commonwealth Bank of Australia (the Bank) ABN 48 123 123 124 AFSL and ACL 234945. Lending products under the CAS brand are provided by the Bank and administered by its wholly owned but non-guaranteed subsidiary Commonwealth Securities Limited (CommSec) ABN 60 067 254 399 AFSL 238814. CommSec is a market participant of the ASX and Chi-X Australia, clearing participant of ASX Clear Pty Limited and settlement participant of ASX Settlement Pty Limited.

How to submit your documents

Advisers

Send this form and all supporting documents to the e-mail or postal address listed below.

If you are required to send Original Certified Copies of documents please send via post to:

 **CommSec Adviser Services**
Locked Bag 22
Australia Square NSW 1214