

# Adviser third party information and fee authority form

## Australian Ethical Managed Funds

Please use **BLOCK LETTERS** and **black ink**.

Complete this form to authorise your adviser (third party) to view your information in relation to your Australian Ethical Managed Funds account. Authorisation will begin when your completed form is received and processed by us. Please consider the level of information relating to your Australian Ethical Managed Funds account that will be made available to your adviser. This form should also be completed to start or amend an adviser service fee authority arrangement.

**Important:** Please ensure your dealer group has completed a RCTI if adviser fees are going to be paid. Otherwise, there could be delays when setting up the fee arrangement.

**Send your completed form to:**

- Postal address: Australian Ethical Investment Ltd, Reply Paid 3993, Sydney, NSW, 2001

-Email: [advisers@australianethical.com.au](mailto:advisers@australianethical.com.au)

**Step 1: Investor details** (This section is used to verify your details recorded with Australian Ethical, not to update your details)

Investor number

Name investor 1

Name investor 2

Name investor 3

Full name of company/partnership/trustee/other entity

Address

City

State

Postcode

Country

Home/work phone

Mobile

Email/s

## Step 2: Adviser and Dealer Group details (together 'Advice Entities')

Adviser full name

Adviser Company Name

Email (personalised)

Secondary nominee name

Direct line

Email (personalised)

Mobile

Direct line

Authorised rep #

Mobile

Dealer Group Name

Type of nominee:

Paraplanner  Assistant

Other \_\_\_\_\_

Dealer Group AFSL

## Type of Authority

I want to set up or amend an adviser service fee authority as well as a third party information authority: **Complete steps 3, 4 and 5**

I only want to set up a third party information authority: **Complete steps 4 and 5**

## Step 3: Adviser service fee

Australian Ethical is required by law to obtain your written consent before a fee for financial advice can be deducted from your Managed Funds account. If you are not happy with the amount or the service being offered by your financial adviser, you do not have to sign this consent.

If you sign this consent, the following fee will be deducted from your Australian Ethical Managed Funds account at the end of each quarter, or as a lump sum as agreed. If your account balance is insufficient in a fund at a deduction date, the adviser service fee will not be deducted.

**Please select the fee payment method below, and enter the fund/s this fee is to be deducted from (please tick one)**

- One-off fee paid as a lump sum
- One-off paid quarterly over 12 months (A quarterly deduction will be calculated based on the annual amount provided below)

**Start date**

Please confirm the start date of this adviser service fee. If left blank this fee will commence once this form is processed.

Date (DD/MM/YYYY)

Start date must be no later than three months after this form is signed.

**Please ensure the amount you insert below is inclusive of GST.**

| Fund name                 | Amount (lump sum or annual)<br>(maximum total p.a. - \$8,000<br>including GST) |  |
|---------------------------|--|--|
| Income Fund               | \$   |  |
| Fixed Interest Fund       | \$   |  |
| Balanced Fund             | \$   |  |
| High Growth Fund          | \$   |  |
| Diversified Shares Fund   | \$   |  |
| High Conviction Fund      | \$   |  |
| International Shares Fund | \$   |  |
| Australian Shares Fund    | \$   |  |
| Emerging Companies Fund   | \$   |  |

#### Your fee consent expiry or withdrawal

How long consent will last – Your fee consent expires once the full amount of the one-off fee has been deducted from your managed funds account (up to a maximum of 12 months from the Start Date or the date this form is processed). This means your financial adviser will have to ask for your consent again if Australian Ethical is to deduct fees from your account for further advice in the future.

Withdrawal of consent - You can withdraw your consent to the deduction of adviser service fees from your account by contacting us using the contact details on the final page of this form. If your account is closed or we are notified of any relevant changes to the arrangements or details outlined in this form, your advice fee will stop, with the final fee deduction being a pro-rata calculation based on the date the consent withdrawal is received.

#### Your financial advisers' obligations

Your financial adviser will provide you with financial advice for the fee set out in this consent form. As part of this advice, your adviser will have provided you with a Statement of Advice.

### Step 4: Adviser declaration and signature

#### Where an adviser service fee is charged:

As the financial adviser for this investor, I declare that:

- The adviser service fee being requested is in relation to the client's account held in Australian Ethical Managed Funds and
- I have provided this investor with a Statement of Advice which includes the following service/s related to this fee (**please describe these services**):

- I understand Australian Ethical may be in contact with me in relation to this advice fee arrangement and may seek confirmation that services have been provided and may request an extract of the Statement of Advice, if required.
- I understand the adviser service fee deduction will stop if the account is closed, if the consent is withdrawn or there have been any changes to the arrangements nominated in this form requiring a new form to be signed.
- If any payments for the adviser service fee are outstanding, I will contact my client to arrange a new agreement/payment and Australian Ethical will not be liable for the payment of any outstanding fees.
- If payments for the adviser service fee have been made to the incorrect dealer group due to a failure to provide Australian Ethical with updated information, Australian Ethical will not have any obligation in relation to those payments.
- I will be responsible for making necessary arrangements directly with the relevant dealer group to recoup any overpayments that have been made to them and to direct it to the correct entity in relation to fees for advice referred to in this form.

#### Where there is an information authority:

- If there are any changes to the adviser, adviser company or dealer group or other details specified in this form, I will inform Australian Ethical, and accept that a new Adviser third party information and fee authority form may need to be completed, upon request. I understand Australian Ethical will cease payment of fees under this authority if a new fee authority is requested.
- I understand that Australian Ethical may be in contact with me in relation to this advice fee arrangement and may seek confirmation that services have been provided and may request an extract of the Statement of Advice, if required.
- I agree to keep the investor's personal information private and confidential and to only use their personal information for the purposes of providing them with financial advice.
- I understand that I am not authorised to change the investor's personal contact details, give any instructions or carry out any transactions on the investor's behalf.
- I agree to keep the details required to access any digital portal/site secure (eg. username and password) and will notify Australian Ethical immediately in the event of any actual or suspected loss or misuse of those details, as well as any actual or potential unauthorised access to the portal/site.
- I confirm that any advice provided to this investor in relation to Australian Ethical's Managed Fund products has taken into consideration the Target Market Determination available at [www.australianethical.com.au/managed-funds/pds](http://www.australianethical.com.au/managed-funds/pds) and this advice is consistent with the proposed acquisition of the Fund/s.
- I understand that I am liable for all actions of the secondary person nominated on this form in Step 2.
- I understand my personal information will be held in accordance with the Privacy Policy available at [australianethical.com.au/privacy-policy](http://australianethical.com.au/privacy-policy)

! Please note we currently do not accept electronic signatures on forms. To avoid delays or having to complete this form again, ensure you sign the documents with a traditional signature (either wet ink or using a digital pen.)

Adviser signature

Advisers full name (please print)

Date (DD/MM/YYYY)

## Step 5: Investor declaration and authorisation

### Third party information authority

By signing this form I am making the following declaration:

- I declare that I, the investor named in this form, have read and agree to these terms and conditions of appointing the nominee.
- I declare that the information I have provided on this form is true and correct.
- I understand that Australian Ethical may provide my personal information and information relating to my Australian Ethical Managed Funds account in writing, verbally or through a secure digital portal to the adviser (and nominee(s)) on this form when requested by the adviser.
- I understand this nomination will remain in effect until I provide notice to change or revoke the authority, even if the adviser service fee consent has expired or been revoked.
- I agree that Australian Ethical is not responsible for any loss or delay which results from Australian Ethical providing information to my adviser.
- I understand once Australian Ethical receives the completed form, they will provide my nominee(s) (indicated in step 2), with information (oral, written or electronic) in relation to my Australian Ethical Managed Funds account as if the request was made by me.
- I understand the nominated person(s) will not be authorised to change my personal contact details, give any instructions or carry out any transactions on my behalf, including switching investment options, making additional investments or withdrawing funds. Personal information such as my tax file number and bank account details will not be released to the nominated person under any circumstances.
- I understand although my nominated person(s) has 'read only' access through the portal, I acknowledge that by allowing my adviser access to my personal information, there is an increased risk that my personal information could be used in unauthorised ways.
- I agree to release, discharge and indemnify Australian Ethical from and against all actions, claims, demands, expenses and liabilities (however they arise) suffered by myself or suffered by or brought against Australian Ethical in respect of the information given by Australian Ethical to the nominated person pursuant to this authority.
- I agree and understand that I have directly engaged the dealer group and/or the adviser to provide financial services. I agree that Australian Ethical is not a party to that arrangement and is not liable for any loss which results from that arrangement.
- I declare that I, the investor/s named in this form, have read and agree to these terms and conditions of appointing the adviser and nominee (if applicable) to have the authority to access my information.
- I agree that Australian Ethical will not be held liable for any loss arising from: any failure by an adviser to keep their password secure and confidential; and/or any fraud or inappropriate action taken by an adviser (or a person purporting to be an adviser) as a result of using information held about me.

### Adviser service fee consent

- I agree to release, discharge and indemnify Australian Ethical from and against all actions, claims, demands, expenses and liabilities (however they arise) suffered by myself or suffered by or brought against Australian Ethical, in respect of the information given by Australian Ethical to the nominated person pursuant to this authority.
- I agree and understand that I have directly engaged the dealer group and/or the adviser to provide financial services. I agree that Australian Ethical is not a party to that arrangement and is not liable for any loss which results from that arrangement.
- I declare that I, the member named in this form, have read and agree to these terms and conditions of appointing the adviser and nominee (if applicable) to have the authority to access my information.
- If I have authorised a financial adviser to receive payment by way of an adviser service fee, I understand these fees will be deducted from my investment/s and will continue until I, the adviser or dealer group provide notice for the adviser service fee to cease.
- I understand that an adviser fee request will be rejected if the maximum annual limit has been reached, or if the requested payment breaches this limit.
- I understand and agree that if there are any changes to the adviser, adviser company or dealer group or other details specified in this form, a new Adviser third party information and fee authority form may need to be completed, upon request. I understand Australian Ethical will cease payment of fees under this authority if a new fee authority is requested.

- I understand the adviser service fee deduction will stop if my account is closed, if the consent is withdrawn or there have been any changes to the arrangements nominated in this form requiring a new form to be signed.
- If a payment for the adviser service fee is outstanding, I will contact my adviser or the dealer group (as required) directly to arrange a new agreement/payment and Australian Ethical will not be liable for the payment of any outstanding fees.
- I declare that I, the investor named in this form, have read and agree to these terms and conditions of appointing the nominee.

**!** Please note we currently do not accept electronic signatures on forms. To avoid delays or having to complete this form again, ensure you sign the documents with a traditional signature (either wet ink or using a digital pen.)

Signature

Date (DD/MM/YYYY)

Signatory's full name and title (please print)

Signature

Date (DD/MM/YYYY)

Signatory's full name and title (please print)

Signature

Date (DD/MM/YYYY)

Signatory's full name and title (please print)

**Important information about signing:**

- For individual accounts, this form must be signed by the authorised signatory.
- For joint accounts and Trust/SMSF accounts with individual trustees, all clients must sign.
- For Trusts & SMSFs with corporate trustees, 2 directors of the corporate trustee (or 1, if only a sole direct exists) should sign, as applicable.
- For company accounts, 2 directors or a director and a company secretary must sign, unless the company has a sole director who is also the sole secretary.