

# Adviser third party information and fee authority form

## For Super and Pension members

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 Super account(s). Authorisation will begin when your completed form is received and processed by us. Please consider the level of information relating to your 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:

Australian Ethical Super, Locked Bag 20013, Melbourne VIC 3001

Email: [advisers@australianethical.com.au](mailto:advisers@australianethical.com.au) or login to the member portal at [australianethical.com.au/login](http://australianethical.com.au/login) and upload the completed forms under the 'Contact Us' tab.

### Step 1: Confirm your member details (This section is used to verify your membership in the fund, not to update your details)

Member number

Date of birth (DD/MM/YYYY)

Surname

Full given name(s)

Home phone

Mobile

Email

Address

Suburb

State

Postcode

Country

## Step 2: Adviser, Nominee and Dealer Group details (together, the '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

This fee nomination is to apply to my:  Australian Ethical Super account or  Australian Ethical Pension account

Your adviser (and your adviser's Dealer Group) is requesting your consent to arrange for the deduction of an advice fee from your account(s) for their advice and related services, as set out below.

If you give your consent by this form, you will also give your consent to the trustees of Australian Ethical Super to deduct the relevant advice fee from your account to pay your adviser (or your adviser's Dealer Group). 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 proportionately from your investment options in your account at the end of the month. If there are insufficient funds in your account at deduction date, the adviser service fee will be deducted at the end of the month when sufficient funds are first available to pay the full amount of the fee.

**Please ensure the amount you insert below is the annual amount (if fee being made in instalments) and is inclusive of GST.**

**One-off fee paid as a lump sum**

Maximum per annum  
– \$8,000 (incl. GST) \$  (incl. GST)

**One-off fee paid in monthly instalments over a maximum of 12 months**

Maximum per annum  
– \$8,000 (incl. GST) \$  per annum (incl. GST)

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

Start date (DD/MM/YYYY)  Start date must be no later than three months after this form is signed.

### 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 account (up to a maximum of 12 months from the Start Date or the date this form is processed), provided that the relevant arrangement with your adviser (or your adviser's Dealer Group) has not terminated and you have not withdrawn this consent prior to that date. This means your financial adviser will have to ask for your consent again if Australian Ethical Super 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, at any time prior to the fee being deducted from your account. 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 which may cover, amongst other things the suitability of your existing superannuation arrangements and whether you will have enough super for your retirement.

### Step 4: Adviser declaration and Signature

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

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

- The adviser service fee being requested is in relation to the member's account held with Australian Ethical Super and
- I have provided this member with a Statement of Advice which includes the following service/s related to this fee (please tick types of services provided):
  - The suitability of this member's existing superannuation arrangements
  - whether the member will have an adequate superannuation fund balance for their retirement.
  - Other (please describe these services):

By arranging for the deduction of the advice fee detailed in this form, the Advice Entities requesting this consent confirm and agree that:

- The proposed adviser service fee(s) and the details provided in this form are consistent with the terms of the arrangement between the Advice Entities and the member and there is no other agreement or arrangement with the member that may be inconsistent with the details provided in this consent. To the extent of any inconsistency between the terms of the existing arrangement between the Advice Entities and the member and the details in this form, this form prevails;
  - The Trustee of Australian Ethical Super is not a party to the above arrangements and is not liable for any losses which may arise therefrom.
  - The Advice Entities will immediately inform Australian Ethical Super of any changes to the arrangement with the member that may be inconsistent with the details provided in this consent;
  - The services listed in this form have been or will be provided in accordance with the terms of the arrangement with the member and this consent;
  - The proposed Adviser service fee amount is a reasonable amount for the proposed services listed below;
  - Where the account is a superannuation account, the services provided will only be in relation to the member's super account
  - Once the member has signed the form, the Advice Entities authorise for the signed form to be provided to Australian Ethical Super
  - the Adviser will still have additional obligations under the Dealer Group/Adviser terms and conditions (as applicable).
- 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.
- 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 directly to arrange a new agreement/payment and neither the Trustee nor Australian Ethical Super will 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 Super with updated information, neither the Trustee nor Australian Ethical Super will have any obligation in relation to those payments.
- I understand the Trustee 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.

#### Where there is an information authority:

- I confirm that any advice provided to this member in relation to Australian Ethical's Superannuation products has taken into consideration the Target Market Determination available at [www.australianethical.com.au/super/pds-forms/](http://www.australianethical.com.au/super/pds-forms/) and this advice is consistent with the proposed acquisition of the product.
- I agree to keep the details required to access the digital portal secure (e.g. username and password) and will notify Australian Ethical Super 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 member portal.
- I agree to keep the member'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 member's personal contact details, give any instructions or carry out any transactions on the member's behalf, including switching investment options, making contributions, requesting a rollover or making lump sum withdrawals.

- 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 wet ink signature (i.e. by hand with a black or blue ink pen).

Adviser Signature

X

Adviser full name (please print)

Date (DD/MM/YYYY)

## Step 5: Member declaration and authorisation

### Third party information authority

**By signing this form I am making the following declaration:**

- I declare that the information I have provided on this form is true and correct.
- I understand that Australian Ethical Super may provide my personal information and information relating to my 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 or my adviser provides notice to revoke the authority, even if the adviser service fee consent has expired or been revoked.
- I agree that neither the Trustee nor Australian Ethical Super is responsible for any loss or delay which results from Australian Ethical Super providing information to my adviser.
- I understand once Australian Ethical Super 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 Super 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 contributions, requesting a rollover or making lump sum withdrawals. 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 the Trustee and/or Australian Ethical Super from and against all actions, claims, demands, expenses and liabilities (however they arise) suffered by myself or suffered by or brought against the Trustee and/or Australian Ethical Super, in respect of the information given by Australian Ethical Super 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 the Trustee or Australian Ethical Super 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.

- I agree that neither the Trustee nor Australian Ethical Super will 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 have directly engaged the adviser and/or the Dealer Group for the advice services to be provided to me and I consent to Australian Ethical Super deducting the fees from my super account and paying them to the Dealer Group.
- I understand that I can vary/withdraw my consent at any time before the fee is deducted.
- In the event that the adviser and/or Dealer Group notify Australian Ethical Super of an assignment of its/their rights under the fee agreement, I authorise Australian Ethical Super to pay the fees to the new adviser and/or dealer group (on the basis that they will provide any outstanding services owed to me). Unless I notify you otherwise, this consent will continue to apply to such new adviser and/or dealer group.
- I will notify Australian Ethical Super if I do not receive the services listed above, or an inconsistency arises between the details in this form and my agreement with the adviser and/or Dealer group.
- If a transaction is pending on my account when this consent is withdrawn, the transaction will need to be processed first before the adviser service fee consent is removed.
- If there are insufficient funds in my account on the deduction date, the adviser service fee will be deducted at the end of the month when sufficient funds are first available to pay the full amount of the fee.
- 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 Super 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 neither the Trustee nor Australian Ethical Super will be liable for the payment of any outstanding fees.
- I declare that the adviser service fee only relates to advice about superannuation.

ⓘ 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 wet ink signature (i.e. by hand with a black or blue ink pen).

Member Signature

X

Member full name (please print)

Date (DD/MM/YYYY)

❓ If you have any questions, please contact Australian Ethical Super on 1800 021 227.