



# IOOF WEALTHBUILDER

October 2021

## Application form – companies or other investors

**For assistance please contact Investor Services on 1800 002 217.**

This application form accompanies the IOOF WealthBuilder Product Disclosure Statement (PDS) (and any Supplementary Product Disclosure Statement (SPDS)) which provides important information about investing in IOOF WealthBuilder. We recommend you read the PDS (and any SPDS) thoroughly before making an application to invest. We will only consider applications for initial investments on receipt of this application form, which has been read together with the PDS (and any SPDS).

If you have received the PDS (and any SPDS) electronically, we can send you a paper copy including this application form free of charge upon request. Simply contact Investor Services on 1800 002 217.

The investments offered in the PDS (and any SPDS) are only available to persons receiving the PDS (and any SPDS) and accepting the offer to invest within Australia. A person who gives another person access to the application form, must at the same time and by the same means, give the other person access to the PDS (and any SPDS). All words and phrases in this application form have the same meaning as given to them in the PDS (and any SPDS).

**Please complete these instructions in BLACK INK using CAPITAL LETTERS (except for your email address) and ✓ boxes where provided.**

### Step 1: New investment application

This application form is to be completed for **new** investments into an IOOF WealthBuilder.

If you are an existing investor with the IOOF group, please provide your investor/account number:

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**Note:** Generally existing investors who hold investments in other products within the IOOF group, will not be required to provide proof of identification requirements under AML/CTF legislation, unless they are applying under a different name to their existing accounts (eg as joint investors, or in a family company name) or in a different capacity to their existing accounts (eg as trustee for a trust, or director of a company).

If you would like to use **BPAY**<sup>®1</sup> for your **initial investment**, please contact Investor Services on 1800 002 217 to obtain a Customer Reference Number (CRN). Once received, please provide your CRN below:

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### Step 2: Investor details

Please complete this application form if you are investing as a **'company'** or **'other investor'**<sup>2</sup> only.

**If you are investing as an individual/joint investors or a trust, please complete the separate application form (as applicable) located on our website ([www.ioof.com.au](http://www.ioof.com.au)).**

1 Registered to BPAY Pty Ltd ABN 69 079 137 518. Only available if your nominated financial institution offers this service.

2 Other investors may include partnerships, associations (such as incorporated, unincorporated club or body), registered co-operatives or government entities.

# Companies or other investors

If you are investing as a:

- Domestic Company**, please complete all applicable sections of **Step 2** including the relevant FSC/FPA Identification form(s) for an Australian Company and their beneficial owners (if you have a financial adviser) or an Additional Tax Information Form (if you do not have a financial adviser) as applicable to you.
- Foreign Company (domiciled in Australia)**, please complete all applicable sections of **Step 2**, including the relevant FSC/FPA Identification form(s) for a Foreign Company and their beneficial owners (if you have a financial adviser) or an Additional Tax Information Form (if you do not have a financial adviser) as applicable to you.
- Other Investor<sup>3</sup>**, please complete **subsections (a), (b) and (h) only** (below). You will also need to complete the relevant FSC/FPA Identification form(s) (if you have a financial adviser), or an Additional Tax information Form (if you do not have a financial adviser) relevant to your investor type. For a copy of the relevant form, please contact Investor Services on 1800 002 217 or visit our website ([www.ioof.com.au](http://www.ioof.com.au)).

## (a) Company/Entity details

Registered name of company/entity	<input type="text"/>																													
Australian Company Number (ACN)	<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>	<b>OR</b>																								
Australian Registered Body Number (ARBN) (if applicable)	<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>	<b>OR</b>																								
Foreign registration number (if unregistered in Australia)	<input type="text"/>																													
Registered business address	<input type="text"/>																													
Suburb	<input type="text"/>																				State	<input type="text"/>	Postcode	<input type="text"/>						
Country (if applicable)	<input type="text"/>																													
Principal business address (if different from above)	<input type="text"/>																													
Suburb	<input type="text"/>																				State	<input type="text"/>	Postcode	<input type="text"/>						
Country (if applicable)	<input type="text"/>																													
Industry in which company operates	<input type="text"/>																													

## (b) Please list Directors/Officeholders/Partners full names (as applicable)

### Director/Officeholder/Partner 1

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>																											
Given name(s)	<input type="text"/>																													

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form at [www.ioof.com.au](http://www.ioof.com.au))

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form at [www.ioof.com.au](http://www.ioof.com.au))

### Director/Officeholder/Partner 2

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>																											
Given name(s)	<input type="text"/>																													

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form at [www.ioof.com.au](http://www.ioof.com.au))

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form at [www.ioof.com.au](http://www.ioof.com.au))





**Shareholder/beneficial owner 4**

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Residential address (Note: PO Box not accepted)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
		Postcode	<input type="text"/>
Country of residence	<input type="text"/>		

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form at [www.ioof.com.au](http://www.ioof.com.au))

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form at [www.ioof.com.au](http://www.ioof.com.au))

**(h) Other beneficial owners**

To be completed if there are no individuals who meet the requirement of sub-section (g)

Please provide full details of individuals who directly or indirectly control the company.

This includes exercising control through the capacity to determine decisions about financial or operating policies, or by means of trusts, agreements, arrangements, understanding and practices, voting rights of 25 per cent or more, or power of veto. If no such person can be identified then the most senior managing official/s of the company (such as the managing director or directors who are authorised to sign on the company's behalf).

**Other beneficial owner 1**

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Residential address (Note: PO Box not accepted)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
		Postcode	<input type="text"/>
Country of residence	<input type="text"/>		

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their immediate family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form at [www.ioof.com.au](http://www.ioof.com.au))

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form at [www.ioof.com.au](http://www.ioof.com.au))

**Other beneficial owner 2**

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Residential address (Note: PO Box not accepted)	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/>
		Postcode	<input type="text"/>
Country of residence	<input type="text"/>		

Politically exposed persons are individuals who occupy a prominent public position or function in a government body or international organisation, either within or outside Australia. This definition also extends to their family members and close associates.

Are you a politically exposed person?  Yes  No (If 'yes', complete the Politically Exposed Persons Form at [www.ioof.com.au](http://www.ioof.com.au))

Are you residing overseas?  Yes  No (If 'yes', complete an Overseas Investor Form at [www.ioof.com.au](http://www.ioof.com.au))

**Identification and tax residency requirements**

If you are applying as a company, and have a financial adviser, please ensure you complete the relevant FSC/FPA Identification form, and a separate form for individuals who are beneficial owners (as applicable), or, an Additional Tax Information Form if you do not have a financial adviser. To obtain a copy of the relevant form(s) or if your details change at any time please contact Investor Services on 1800 002 217 or visit our website ([www.ioof.com.au](http://www.ioof.com.au)).

**(i) Contact Person**

A Contact Person must be nominated for the account.

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Mailing address	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/> Postcode <input type="text"/>
Country	<input type="text"/>		
Phone (bh)	<input type="text"/>	Phone (ah)	<input type="text"/>
Phone (mobile)	<input type="text"/>	Fax	<input type="text"/>
Email	<input type="text"/>		
Date of birth	<input type="text"/>	Gender	Male <input type="checkbox"/> Female <input type="checkbox"/>

- All future notices and correspondence will be forwarded to the Contact Person
- The Contact Person must be one of the signatories on the account
- If the Contact Person is intended to have authority to transact on the account, on behalf of the company/entity, the 'Nominated Representative Facility' form must be completed. A copy of this form is located on our website, [www.ioof.com.au](http://www.ioof.com.au). Conditions applying to the appointment of a representative are detailed in the PDS (and any SPDS).

**Security Password**

For security purposes and easier access to your account information via the telephone, please provide a password:

Security password

**Please note:** When a representative is nominated, no account information will be provided via the telephone unless this password is quoted.

**IOOF Portfolio Online registration:** To register for IOOF Portfolio Online, please complete the online application form via the Portfolio Online area of the IOOF website ([www.ioof.com.au](http://www.ioof.com.au)). You can only register for this service after you have received an investor number.

**Step 3: Life insured**

**Corporate investors**

Where the investor is a company or other entity a life insured must be specifically nominated for the account.

**Life insured 1**

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Residential address	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/> Postcode <input type="text"/>
Date of birth	<input type="text"/>		

**Life insured 2 (if applicable)**

Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/>	Surname	<input type="text"/>
Given name(s)	<input type="text"/>		
Residential address	<input type="text"/>		
Suburb	<input type="text"/>	State	<input type="text"/> Postcode <input type="text"/>
Date of birth	<input type="text"/>		

## Step 4: Initial investment details

You can use this form to invest in one or more IOOF WealthBuilder Fund(s). The minimum investment amount is **\$2,000** or **\$500** when utilising a Regular Savings Plan (RSP).

If you wish to utilise a RSP, you must also complete the Regular Savings Plan section – **Step 5** of this application form.

The minimum initial investment per Fund is \$500.

Name of Fund	Initial contribution to be invested (min. \$500 per Fund)
<b>Diversified</b>	
IOOF WealthBuilder Conservative – IOOF MultiMix	\$ <input type="text"/>
IOOF WealthBuilder Moderate – IOOF MultiMix	\$ <input type="text"/>
IOOF WealthBuilder Balanced Growth – IOOF MultiMix	\$ <input type="text"/>
IOOF WealthBuilder Growth – IOOF MultiMix	\$ <input type="text"/>
<b>Cash and Income</b>	
IOOF WealthBuilder Cash Management – IOOF	\$ <input type="text"/>
IOOF WealthBuilder Income – Janus Henderson	\$ <input type="text"/>
<b>Property</b>	
IOOF WealthBuilder International Property Index – Vanguard	\$ <input type="text"/>
<b>Australian shares</b>	
IOOF WealthBuilder Australian Shares Emerging Leaders – Ausbil	\$ <input type="text"/>
IOOF WealthBuilder Australian Shares Geared – First Sentier	\$ <input type="text"/>
IOOF WealthBuilder Australian Shares Core – Fidelity	\$ <input type="text"/>
IOOF WealthBuilder Australian Shares Long Short – Perpetual	\$ <input type="text"/>
IOOF WealthBuilder Australian Shares Index – Vanguard	\$ <input type="text"/>
<b>International shares</b>	
IOOF WealthBuilder International Shares – Magellan	\$ <input type="text"/>
IOOF WealthBuilder International Shares – Platinum	\$ <input type="text"/>
IOOF WealthBuilder International Shares Hedged – Walter Scott	\$ <input type="text"/>
IOOF WealthBuilder International Shares Index – Vanguard	\$ <input type="text"/>
<b>Total initial contribution</b>	\$ <input type="text"/>

**Important note:** For any initial deposit equal to or more than \$2 million you must also complete the High Threshold Transaction form available at [www.ioof.com.au](http://www.ioof.com.au)

**Please indicate how you will pay your initial contribution:**

**Cheque**

Made payable to 'IOOF Applications Trust Account – Applicant(s) Name' marked 'Not Negotiable'. Please attach to this application form.

**BPAY**

For initial contributions please call your financial adviser or Investor Services on 1800 002 217 to obtain a Customer Reference Number (CRN) and relevant BPAY Biller Codes. Refer to the PDS for further details.

**Direct debit**

Please complete the separate **Direct Debit Request (DDR)** form located on our website at [www.ioof.com.au](http://www.ioof.com.au)

**Is this IOOF WealthBuilder account being established using borrowed funds?**

Yes  No

**Important note**

- An investor advice fee – upfront of up to 3.00% (inclusive of GST) may be charged on your initial (and subsequent) contributions depending on arrangements in place with your financial adviser. Refer to **Step 8** 'Investor advice fees'.
- Contributions net of any investor advice fee – upfront or stamp duty (if applicable) will be invested in your nominated IOOF WealthBuilder Fund(s).

## Step 5: Regular savings plan (optional)

Do you wish to set up a Regular Savings Plan (RSP), through a direct debit facility from your nominated financial institution account?

**If your initial contribution is less than \$2,000, you must tick yes.**

Yes To commence a RSP you must complete the **Direct Debit Request (DDR) Form** located on our website at [www.ioof.com.au](http://www.ioof.com.au)

You might also wish to select the optional **RSP automatic increase facility**, please see below.

No Go to **Step 6**

**Please note:**

- Your initial contribution (minimum of \$500) must be received prior to the RSP commencing (this includes where the initial investment is made via direct debit).
- The RSP amount will be deducted from your nominated financial institution account on the 15th day of each month or the nearest business day after the 15th day of the month.

You can change your RSP contributions or financial institution account details at any time by completing a new DDR form.

A copy can be obtained from our website at [www.ioof.com.au](http://www.ioof.com.au) or alternatively by contacting Investor Services on 1800 002 217.

## RSP automatic increase facility (optional)

The RSP automatic increase facility automatically increases your RSP contributions each policy anniversary year by 125% of the previous year's monthly RSP contribution.

To take advantage of this feature please complete the relevant section of the **Direct Debit Request (DDR) Form**.

- Each year, three months prior to your policy anniversary date, you will receive notification of the intended increase to your RSP contribution.
- You are free to cancel the RSP automatic increase facility at anytime.





### Beneficiary 3

\*Title (Dr/Mr/Mrs/Ms/Miss)  Surname

\*Given name(s)

This section must be completed. Note: PO Box can only be provided below under 'Mailing address'.

\*Residential address

\*Suburb  \*State  \*Postcode

Mailing address (if different from above)

Suburb  State  Postcode

Phone (bh)    Phone (ah)

Phone (mobile)    Fax

Email

\*Date of birth  /  /  \*Percentage of benefit payable  %

### Beneficiary 4

\*Title (Dr/Mr/Mrs/Ms/Miss)  Surname

\*Given name(s)

This section must be completed. Note: PO Box can only be provided below under 'Mailing address'.

\*Residential address

\*Suburb  \*State  \*Postcode

Mailing address (if different from above)

Suburb  State  Postcode

Phone (bh)    Phone (ah)

Phone (mobile)    Fax

Email

\*Date of birth  /  /  \*Percentage of benefit payable  %

### AND/OR Corporate beneficiaries or charitable organisations

Such as companies, trusts, partnerships, associations, registered co-operatives or government entities.

\*Name of company/entity

**\*Name of contact person**

\*Title (Dr/Mr/Mrs/Ms/Miss)  Surname

\*Given name(s)

\*Residential address

\*Suburb  \*State  \*Postcode

\*Date of birth  /  /  \*Percentage of benefit payable  %

**Beneficiary benefit allocation TOTAL**  %

Note: For additional beneficiaries, please provide nominations in writing, sign and attach to this application form.

## Step 7: Proof of identity requirements

In accordance with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act), your application cannot be processed unless this section is completed and you may be requested to provide additional information and documentation to facilitate IOOF Ltd's compliance with AML/CTF legislation). AML/CTF legislation obligates IOOF Ltd to verify the identity of each of its investors before providing financial services to them.

**Please note, generally existing investors within the IOOF group, do not need to provide the proof of identity listed below.**

### All non-individual investor applicants (eg companies or partnerships and other types of investors)

When completing the relevant FSC/FPA Identification form(s), the identification requirements are included in these forms (if you have a financial adviser). An Additional Tax Information Form must be completed if you do not have a financial adviser. As a guide you can refer to the proof of identity requirements included in the 'Completing Proof of Identity' document. To obtain a copy please contact Investor Services on 1800 002 217. Alternatively, you can download a copy from our website at [www.ioof.com.au](http://www.ioof.com.au)

## Step 8: Investor advice fees (optional) – complete with your financial adviser if applicable

IOOF facilitates the payment of investor advice fees (IAFs) by deducting them from your account and paying them to your financial adviser directly.

IOOF, as issuer of IOOF WealthBuilder, is required to obtain specific written consent before a fee for financial advice can be deducted from your account. You are not under any obligation to consent to the fee being deducted.

You may alter your fees or revoke your consent at any time by contacting IOOF. Once your consent is revoked, no further fees will be deducted from your account, however any amount paid before you revoke your consent will not be automatically refunded.

**I/we confirm that I/we have agreed with my/our financial adviser to have the following IAFs deducted:**

#### IAF – upfront

% (maximum of 3.00% inclusive of GST)

To be applied to your initial contribution **only**.

Please complete **Standing IAF – upfront** if you would like to apply the same rate or to nominate a different rate to be applied to future additional contributions.

#### Standing IAF – upfront

For nomination of a standing IAF – upfront for future additional contributions.

% (maximum of 3.00% inclusive of GST)

To be applied to additional contributions received unless individually instructed otherwise on receipt of each contribution.

Your adviser has estimated a fee of \$

for the 12 months<sup>^</sup> commencing  /  /  will be deducted from your account.

#### IAF – ongoing

either  % pa (inclusive of GST) OR \$  (inclusive of GST)

Note: both % and \$ cannot be nominated

To be deducted from my/our account:

monthly  quarterly  half yearly  yearly commencing from \*  /  /

\* The date from which the IAF - ongoing will be calculated. The IAF – ongoing will generally be deducted on the first day of the month following the end of the nominated frequency.

Your adviser has estimated a fee of \$

for the 12 months commencing  /  /  will be deducted from your account.

**Consent expiry date (required)**

Where I have chosen IAF – standing upfront and/or IAF – ongoing, I understand the consent for IOOF to pay the ongoing fee to my adviser will cease on   /   /     which is 150 days after the anniversary date for an ongoing fee arrangement.

**IAF – one-off**

\$  (inclusive of GST) to be deducted from my/our   /   /     account on

\* The date from which the IAF - ongoing will be calculated. The IAF – ongoing will generally be deducted on the first day of the month following the end of the nominated frequency.  
 ^ or less if you have a fixed term advice agreement.

**Please note:**

- IAFs are not fees associated with IOOF. They are separately negotiated between you and your financial adviser for the provision of advice and services.
- You may alter or cancel IAFs at any time by writing to us.
- IAFs may not be deducted on the 1st of the nominated month in certain circumstances, for example, if there are insufficient funds where switches or withdrawals are pending.
- Asset (percentage) based IAFs are not permitted for accounts established with borrowed funds.
- Upon transfer of policy ownership, or a change of adviser, existing IAF arrangements will be cancelled and will need to be re-negotiated/agreed between the new policy owner/adviser.

## Step 9: Financial adviser details (financial adviser to complete, if applicable)

We will only register a financial adviser who:

- holds a current Australian Financial Services (AFS) Licence
- is an authorised representative of a current AFS Licensee.

### Financial adviser details

Dealer group																														
License name																														
Financial adviser name																														
Financial adviser number											AFS licence number																			

If you are a new financial adviser\* please also complete the following details:

Business name																														
Business address																														
Suburb											State				Postcode															
Mailing address (if different from above)																														
Suburb											State				Postcode															
Phone (bh)							Phone (ah)																							
Fax							Phone (mobile)																							
Email																														

\* An email notifying you of your new financial adviser number will be forwarded to your office shortly after receipt of this application.

### Declaration by financial adviser

In submitting this application form:

- I declare that I hold a current AFS Licence **OR** I am a representative or an authorised representative nominated to act on behalf of a holder of a current AFS Licence
- I confirm that I have provided the applicant with all the necessary information concerning their chosen investment, including the PDS (and any SPDS)
- I consent to provide IOOF access to all proof of identification records for the purposes of this application if requested (pursuant to the AML/CTF Act Part 7.2)
- I confirm that I have conducted the relevant customer identification procedure in line with the obligations under the AML/CTF Act, and
  - I have attached a certified copy of the applicant's identification document(s) for an individual/sole trader with this application form
  - OR**
  - I have completed and signed the relevant FSC/FPA identification form(s), which is attached to this Application (and retained a certified copy of the applicant's identification document(s)), **OR**
  - I have sighted and retained a certified copy of the applicant's identification document(s) recorded in the following 'Record of proof of identity' table (please complete the table and declaration below).

Record of proof of identity (ID)^	ID document 1	ID document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

Record of proof of identity (ID)^	ID document 3	ID document 4
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

Record of proof of identity (ID)^	ID document 5	ID document 6
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

^ For further information on the types of proof of identity which can be attached or verified and retained, please refer to the 'completing proof of identity' document which is located on our website at [www.ioof.com.au](http://www.ioof.com.au). This document also includes a list of persons authorised to certify copies of original documents.

Signature

Date  /  /

Dealer stamp

For assistance, financial advisers can contact Investor Services on 1800 002 217

## Step 10: Applicant declaration IOOF WealthBuilder

I/We wish to invest in IOOF WealthBuilder as described in the IOOF WealthBuilder PDS (including any SPDS). I/We have personally received the PDS (and any SPDS) or paper print out of the electronic version of the PDS (and any SPDS) to which this application form applies before making an investment.

I/We declare that:

- all details in this application form are true and correct
- I/we have received and accepted this offer in Australia
- I/we acknowledge that I/we will promptly advise my/our financial adviser and/or IOOF<sup>A</sup> if any of my/our details change at any time
- I/we certify that I/we am/are the applicant(s) named in Step 2 of this application form OR I/we am/are authorised to provide information and complete this application form on their behalf (ie by way of Power of Attorney)
- I/we am/are aware that information provided about me/us and my/our accounts may be provided to the relevant tax authority within Australia or internationally
- I/we agree to provide any information that may be required for the purposes of AML/CTF, FATCA and CRS laws (as applicable).

I/We confirm that I/we have read and understood:

- that an investment made in IOOF WealthBuilder does not represent an investment in IOOF, nor any related body corporate within the IOOF group, nor any investment management company appointed to manage the investment assets of the IOOF WealthBuilder Funds
- that neither IOOF nor any related body corporate within the IOOF group, nor any investment management company appointed to manage the investment assets of the IOOF WealthBuilder Funds, guarantees the performance of any IOOF WealthBuilder Fund
- that investments in IOOF WealthBuilder are subject to investment risks including possible delays in repayment and loss of income and principal invested
- the PDS (and any SPDS) in full and on becoming an investor, I/we agree to be bound by the provisions of the PDS (and any SPDS) and the Benefit Fund Rule 7.4 (as amended).

### Target Market Confirmation (mandatory)

I/We declare that:

I/We have received personal financial advice in relation to IOOF WealthBuilder

OR

I/We have reviewed and understand the Target Market Determination for IOOF WealthBuilder and confirm that IOOF WealthBuilder meets my objectives, financial situation and needs

*Please note: if your investment objective(s), timeframe and/or risk profile are inconsistent with IOOF WealthBuilder, then we suggest you seek financial advice that takes into account your personal circumstances.*

### Financial adviser (if applicable)

If I have acquired the services of a financial adviser to obtain advice concerning my investment in IOOF WealthBuilder then I confirm that I have been fully informed of the nature and risks of the selected investment options and am satisfied these investments are suitable for my investment needs.

I acknowledge that I will promptly advise my financial adviser and/or IOOF if any of my details change at any time.

### Investor advice fee(s) (if applicable)

- I authorise IOOF to charge the investor advice fee(s) selected against my account.
- The amount of any investor advice fee(s) that are paid to my financial adviser, or their Australian Financial Services Licensee (Licensee) as agreed by me, will be an additional cost to me and charged against my account. An advice fee will not be charged unless I tell IOOF to do so.
- Any agreed investor advice fee(s) will be charged to my account and paid in full to the financial adviser, or their Licensee, until I instruct IOOF to cease payment or when I change my nominated financial adviser.
- Where I have chosen ongoing fees, I understand the consent for IOOF to pay the ongoing fees to my adviser will cease on the consent end date, which is 150 days after the next anniversary date for my ongoing fee arrangement.
- I understand my consent for one-off fees will last until the one-off fee is paid.
- I understand I can withdraw my consent or vary the ongoing fee arrangement at any time by notice in writing to my adviser, or by contacting IOOF.
- I understand I can withdraw my consent at any time before the cost is passed on to me by contacting IOOF before the fee is paid.

### AML/CTF Law, FACTA and CRS

- I/We have provided the appropriate documents, as outlined in the 'Completing Proof of Identity' document on [www.ioof.com.au](http://www.ioof.com.au), that may be required for the purposes of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (AML/CTF Act)\*.
- I/We confirm that I/we have correctly indicated any applicable foreign or United States tax residency status, for Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) laws, in Step 2 of this application form and during the customer identification process.
- If I/we previously have opened an IOOF product and my/our adviser has not conducted the customer identification procedure under AML/CTF, FATCA and CRS laws, in conjunction with this application, I/we confirm that I/we are not a foreign resident or US citizen(s) or resident(s) for tax purposes, or are not purchasing this product on behalf of another foreign resident, and/or US citizen or resident for tax purposes.

\* Proof of identity requirements are generally not required for existing investors within the IOOF group as detailed in the PDS

## Privacy

Information (including my/our personal information) provided to IOOF is used for the purpose of opening an investment account and for other related purposes. IOOF may disclose my/our personal information to its related bodies corporate, a person with whom I/we have a joint investment, my/our financial adviser, professional advisers, businesses that have referred me/us to IOOF, banks and other financial institutions, or to provide me/us with information about other products or services that may be of interest to me/us.

IOOF is required to collect my/our personal information under the *Corporations Act 2001*, the AML/CTF, FATCA and CRS laws. If I/we do not provide all of the requested information, IOOF may not be able to action my/our request. To verify my/our identity for Know Your Customer (KYC) purposes, IOOF may also solicit personal information about me/us from reliable identity verification service providers.

My/Our personal information will be handled in accordance with IOOF's Privacy Policy. The Privacy Policy contains information about how I/we may access or correct my/our personal information held by IOOF and how I/we may complain about a breach of the Australian Privacy Principles. I/We may request a copy of the Privacy Policy by contacting IOOF on 1800 002 217 or at [www.ioof.com.au/privacy](http://www.ioof.com.au/privacy).

## Marketing material

If you **do not** agree to IOOF or any related body corporate within the IOOF group using your personal information for the purposes of marketing the products and services of the IOOF group from time to time, then please tick this box:

## Power of Attorney

If your application is signed under a Power of Attorney, please enclose an original certified copy of the Power of Attorney and the proof of identity documents required in Step 7 ('Proof of identity requirements') for the attorney, with your application form. If signed under Power of Attorney, the attorney certifies that he/she has not received notice of revocation of that power.

## Corporate investors

This application must be signed either:

- under common seal
- by two directors or a director and company secretary or
- by the sole director (where applicable).



**Important reminder – Identification and tax residency requirements**

If you have a financial adviser and are investing as a Company or Other Investor, you will need to complete and return with your application form additional FSC/FPA Identification Form(s) relevant to your investor type.

If I do not have a financial adviser you will need to complete the relevant Additional Tax Information Form(s). Refer to the separate 'Completing Proof of Identity' document to help you understand what you will need to provide us relevant to your investor type.

All relevant forms can be downloaded from our web site at [www.ioof.com.au](http://www.ioof.com.au), or alternatively you can request a copy from our client services team on 1800 002 217.

If not signing under common seal, please state your title, eg Director, Company Secretary or Sole Director and Company Secretary.

<b>Signatory 1</b>		Date	D	D	/	M	M	/	Y	Y	Y	Y
Title (such as Director/Sole Director/Company Secretary)												
Full name												
<b>Signatory 2</b>		Date	D	D	/	M	M	/	Y	Y	Y	Y
Title (such as Director/Sole Director/Company Secretary)												
Full name												
<b>Signatory 3 (if applicable)</b>		Date	D	D	/	M	M	/	Y	Y	Y	Y
Title (such as Director/Sole Director/Company Secretary)												
Full name												
<b>Signatory 4 (if applicable)</b>		Date	D	D	/	M	M	/	Y	Y	Y	Y
Title (such as Director/Sole Director/Company Secretary)												
Full name												
Common seal (of company) if required												

Please sign and return this completed form (including accompanying proof of identity documents as applicable) to:

**IOOF WealthBuilder, Reply Paid 264, Melbourne VIC 8060**