ClearView Managed Investments

Application form

16 May 2022

ClearView Managed Investments is issued by ClearView Financial Management Limited ABN 99 067 544 549 AFSL Licence No. 227677.

PDS date 16 May 2022

clearview.com.au

Application Form checklist

Which sections should I complete?

Please ensure all relevant sections are completed to enable your application to be processed without delay.

Investor type	Sections to complete	Instructions
☐ **Individual investors** ☐ **Joint investors/Partnership**	Sections 1A, B, C, E, F, 2, 3, 5 and 7 (and 4 and 6 if applicable)	Sections 1B, C and F are optional for existing investors
☐ **Company** ☐ **Self-Managed Super Fund (SMSF) – Corporate trustee**	Sections 1A ,B, C, D, E, F, 2, 3, 5 and 8 (and 4 and 6 if applicable)	Section 1E requires the TFN and ABN for the company or SMSF
☐ **Self-Managed Super Fund (SMSF)/ Trust – individual trustee(s)**	Sections 1A, B, C, D, E, F, 2, 3, 5 and 7	Section 1E requires the TFN and ABN for the SMSF
☐ **Investing on behalf of an individual under 18 years of age.** This Application Form must be in an adult's name on trust for the child.	Sections 1A, B, C, E, F, 2, 3, 5 and 7 (and 4 and 6 if applicable)	Section 1C requires the details of the trustee for the child (usually a parent/guardian) Section 1E requires the TFN of the trustee

Please complete this form using **black ink** and print clearly within the boxes in **CAPITAL LETTERS**. Start at the left of each answer space and leave a gap between words. Please CROSS × appropriate answer boxes. Fields marked with an asterisk (*) must be completed in order for us to action your request.

Sending your Application Form

Please send the Application Form to us via email or mail.

Mailing address:
ClearView Wealth
GPO Box 4232
Sydney NSW 2001

Email address:
client.wealth@clearview.com.au

If you have any questions or need help please call our Service Centre on **132 977**.

Section 1: Your details – all investors to complete

A. Account details

*Do you have an existing ClearView Managed Investments account?

☐ No I am a new client.

☐ Yes my existing account number is ______ / ______ (e.g. TINV / 100000)

B. Investor details

*Type of investor

☐ Individual (over the age of 18) ☐ Joint ☐ Partnership ☐ Company

☐ Trust (including in trust for minors under 18 years of age) ☐ Trustee of a Superannuation fund

Other (please specify)

C. Personal details

Investor 1/Trustee 1/Director 1/Partner 1/Sole director and sole company secretary

Please complete if you are: an individual investor (over 18 years of age), joint investor, partner investor, director, trustee (individual) or a sole director and sole company secretary.

*Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Dr ☐ Other ______

*Gender

☐ Male ☐ Female ☐ Other ______

*Date of birth

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*Given name(s)

*Surname

*Email

(We'll use this to notify you of changes to your account and to send details on how to register for the ClearView Portal)

Residential address (cannot be a PO Box address)

*Street number and name

*Suburb/Town ______ *State ______ *Postcode ______

*Country (please contact us if you reside outside of Australia)

Postal address (if different to the above)

Street number name or PO Box

Suburb/Town State Postcode

Country

Home number ( ) Work number

Mobile

Investor 2/Trustee 2/Director 2/Partner 2/Company Secretary

Please complete if you are: a joint investor, director, trustee (individual), partner investor or company secretary.

*Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Dr ☐ Other

*Gender

☐ Male ☐ Female ☐ Other

*Date of birth D D M M Y Y Y Y

*Given name(s)

*Surname

*Email

(We'll use this to notify you of changes to your account and to send details on how to register for the ClearView Portal)

Residential address (cannot be a PO Box address)

*Street number and name

*Suburb/Town *State *Postcode

*Country (please contact us if you reside outside of Australia)

Postal address (if different to the residential address)

Street number and name or PO Box

Suburb/Town State Postcode

Country

Home number ( ) Work number

Mobile

D. Companies, Trusts or Superannuation Funds

Please complete this section if you are investing as a company or as a trustee of a superannuation fund or trust.

*Name

*Company ACN

*Contact person

*Position

*Email

(We'll use this to notify you of changes to your account and to send details on how to register for the ClearView Portal)

Registered office

*Street number and name

*Suburb/Town *State *Postcode

*Country (please contact us if you reside outside of Australia)

Postal address (if different to the registered office address)

Street number and name or PO Box

Suburb/Town State Postcode

Country

Home number ( ) Work number

Mobile

E. Tax File Numbers (TFN)/Australian Business Numbers (ABN) or exemption

Please refer to section titled 'Tax File Numbers (**TFN**)/Australian Business Numbers (**ABN**)' in the ClearView Managed Investments PDS for information about quoting your TFN/ABN.

Is the Investor a tax resident of Australia? ☐ Yes ☐ No

Investor 1	**Investor 2**
Tax File Number	Tax File Number
Exemption Code (if applicable)	Exemption Code (if applicable)

Company/Trust/Partnership/Trustee of a Superannuation fund

Tax File Number

ABN

If you are not a resident of Australia for tax purposes, please complete the section below:

Tax Residency rules differ by country. For the US, tax residency can be as a result of citizenship or residency.

Is the Investor a tax resident of another Country? ☐ Yes ☐ No

If the Investor is a tax resident of a country other than Australia, please provide their tax identification number (**TIN**) or equivalent below. If they are a tax resident of more than one other country, please list all relevant countries below.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C) for not providing a TIN.

1. Country		TIN		If no TIN, list reason A, B or C	
2. Country		TIN		If no TIN, list reason A, B or C	
3. Country		TIN		If no TIN, list reason A, B or C	

If there are more countries, provide details on a separate sheet

Reason A: The country of tax residency does not issue TINs to tax residents

Reason B: The individual has not been issued with a TIN

Reason C: The country of tax residency does not require the TIN to be disclosed

F. Nominated bank account

We will use this account for any direct debits, distribution instructions or Money Out instructions that you set up as part of this Application Form.

Name of account holder

BSB number

Account number

I/we request and authorise ClearView Financial Management Limited (User ID number 101077) to debit my nominated account in accordance with the initial, default and/or regular payment arrangement made between us as set out in this Application Form.

I/we acknowledge that this debit will be made through the Bulk Electronic Clearing System (**BECS**) from my account held at the financial institution I have nominated in this Application Form and will be subject to the terms and conditions of the Direct Debit Request Service Agreement. For further information, refer to the section titled 'Direct Debit Request Service Agreement' in the ClearView Managed Investments Additional Information Booklet (**AIB**).

By signing and/or providing you with a valid instruction in relation to my Direct Debit Request, I/we understand and agree to the terms and conditions governing the debit arrangement between myself and ClearView Financial Management Limited as set out in this request and in the Direct Debit Request Service Agreement. I understand that where an initial, default and/or regular deduction is dishonoured, a fee is charged and a processing fee may be charged by my financial institution each time a contribution is made. I/we have the authority to make these payment(s).

Signature of account holder

✘

Date signed

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Name of account holder (print clearly in block letters)

If joint account:

Signature of second account holder

✘

Date signed

D D M M Y Y Y Y

Name of second account holder (print clearly in block letters)

Section 2: Money In

Use this section to tell us where you want to invest money coming into your account. You can nominate different instructions for your Default Money In Choice, Initial investment and/or Regular Savings Plan.

A. Default Money In Choice

Use this section to tell us how you want us to allocate money coming into your account if you don't provide alternate instructions with specific transactions.

Investment Option	%
Cautious 30	%
Prudent 50	%
Assertive 70	%
Aggressive 95	%
Total Default Money In Choice allocation	**100.00** %

B. Initial investment

Contribution method ☐ Direct debit (complete 1F) OR ☐ Cheque[1]

Date of deduction (direct debit only) D D M M Y Y Y Y

Contribution choice ☐ Default Money In Choice OR ☐ Choose how the money is invested below:

Investment Option	%
Cautious 30	%
Prudent 50	%
Assertive 70	%
Aggressive 95	%
Total initial investment allocation	**100.00** %

1 Please ensure all cheques are payable to '**ClearView Managed Investments**'

C. Set up a Regular Savings Plan via Direct Debit

Amount $

Please nominate the date of payment

☐ Next available OR ☐ Nominated date D D M M Y Y Y Y

Frequency

☐ Monthly OR ☐ Quarterly

Please select how you would like your money to be invested

☐ Default Money In Choice

☐ in accordance with the instructions below:

Investment Option	%
Cautious 30	%
Prudent 50	%
Assertive 70	%
Aggressive 95	%
Total Regular Savings Plan allocation	**100.00** %

Section 3: Distribution instructions

Use this section to tell us where you want your distributions paid. Please ensure you have completed Section 1F if you want your distributions paid into your nominated financial institution account.

Investment Option	Distribution options	
	Reinvest	**Paid into nominated account**
Cautious 30	☐	☐
Prudent 50	☐	☐
Assertive 70	☐	☐
Aggressive 95	☐	☐

If you don't provide us with your distribution instructions on this Application Form we will reinvest your distribution into the relevant Investment Option.

Section 4: Money out

Use this section to tell us where you want to deduct any money going out of your account.

A. One-off withdrawals

Please make sure you provide your bank account details in Section 1F.

Note: One-off withdrawals can also be made by completing a Withdrawal Form. Partial withdrawals can be made using TeleAccess, we will send you details on how to do this as part of your Welcome Pack.

Investment Option	%	
Cautious 30		%
Prudent 50		%
Assertive 70		%
Aggressive 95		%
Total	**100.00**	%

B. Fixed Payment Plan

If you wish to receive a regular fixed payment from your investment please complete this section.

1. Timing of regular payments

☐ Monthly (around the 15th of the month) OR ☐ Twice monthly (around 1st and 15th of the month)

2. Payment amount

Investment Option	Regular payment amount to be deducted from your investment
Cautious 30	$
Prudent 50	$
Assertive 70	$
Aggressive 95	$
Total fixed regular payment	$

3. Payment instructions

☐ To account nominated in Section 1F OR ☐ To account nominated below:

Name of account holder

BSB number

Account number

Section 5: Investor declarations and signature

If you complete and sign the Application Form to participate in ClearView Managed Investments, you acknowledge that your membership in the relevant product is subject to the terms of the Constitution and Product Disclosure Statement (**PDS**), as amended from time to time. The Responsible Entity may amend the Constitution, subject to limitations and conditions imposed by relevant law and the provisions of the Constitution. Information contained or referred to in the PDS may change from time to time. You can obtain updated information by asking your financial adviser or contacting us. You can also ask for a free paper copy of the updated information. If the change to the information is materially adverse we will issue a supplementary PDS or reissue the PDS, and notify you as required by law.

You acknowledge:

- the statements and answers contained herein are true;
- your entitlements are set out in the Constitution and in the PDS, as amended from time to time;
- that an offer made within the PDS only constitutes an offer to persons receiving the PDS within Australia and signing the Application Form in Australia;
- investments in ClearView Managed Investments are not investments, deposits or other liabilities of ClearView Wealth Limited and are subject to investment and other risks, including possible delays in repayment and the loss of income and principal invested;
- neither ClearView Financial Management Limited, ClearView Wealth Limited nor its subsidiaries guarantee the repayment of capital or the performance or rate of return of any of the investment options.

You confirm you:

- have read and consent to the collection, use and disclosure of your personal information as set out in the Privacy Policy available at **clearview.com.au**;
- are 18 years or older;
- have had an opportunity to obtain advice in respect of the product from a financial adviser licensed or authorised under the Corporations Act 2001 (**Cth**) to give such advice;
- have received, read and understood the Target Market Determination, PDS, and the AIB. If you make additional investments into your account, you understand that at the time of investing, it will be in accordance with the latest disclosure document;
- by providing your tax file number, you give consent to its use and disclosure as set out in the PDS;
- agree you will be taken to have received the relevant information whether or not you access the information online at **clearview.com.au**, by email or through other electronic communications;
- understand and accept the risks of an investment in the product and that neither investment earnings nor the value of your investments are guaranteed by us or our related entities;
- understand we may at any time vary the investment strategies or investments available and, in such circumstances, we may, without reference to you or your financial adviser, and without taking into account any taxation or other potential costs that may be incurred by you as a result, sell any investments held in respect of your account which have ceased to be offered;
- understand there may be unavoidable delays before an investment transaction may be implemented, including but not limited to delays that occur because we exercise a discretion available to us under the Constitution and/or to comply with legal requirements;
- understand and accept the fees and costs described in the PDS;
- understand we may provide, transmit or make available to you, your financial adviser and/or an authorised third party, reports, statements, confirmations, notices, investment instructions and other information from ClearView Managed Investments by any means including, but not limited to email, the internet, other facility or by addressed post;
- agree to authorise your financial adviser to undertake the following on your behalf:
  - issue investment instructions;
  - access your account via the ClearView Portal;

  - prepare, sign and lodge or otherwise communicate a request to sell an investment or to buy another investment;
  - action other account-related instructions on your behalf;
  - update your contact details with us;
  - obtain information about your account and investments;
  - act as your agent to receive information and reports required or allowed by law, contract or otherwise, to be provided to you under the terms of the PDS. The receipt of information and reports by your financial adviser is deemed to be receipt of the information and reports by you;
- acknowledge and agree we will not be liable to you for any loss you suffer (including consequential loss) caused by the fact that:
  - we may delay, block, freeze or refuse to process a transaction;
  - we may refuse to provide you any (upfront or ongoing) services, including in circumstances where:
    - we have a legal obligation to refuse to provide those services;
    - your transaction may cause us or you to breach any Australian laws or the laws of another country;
- acknowledge and agree we may rely on communications that purport to be from you which relate to information of a kind that we will from time to time accept;
- acknowledge and agree that if we reasonably believe a communication (including an email communication) we receive from you, your financial adviser or representative is genuine, we are entitled to rely on that communication and will not be liable for any loss you may suffer if it is later found the communication was fraudulent;
- acknowledge and agree that if we reasonably believe a signature on a document, such as a withdrawal form, to be genuine we are entitled to rely on that signature and will not be liable for any loss you may suffer if it is later found that the signature was fraudulent;
- agree to supply us with any information we may from time to time request in order to comply with the requirements of a foreign authority;
- understand that to access your account via the ClearView Portal, you will need to use your username and password;
- understand that this password must be kept secure and confidential and only used by you to access account information and update your information;
- understand that to access your account via TeleAccess you will need to use your Security Access Number (**SAN**);
- understand that access will be given to any person who uses your SAN or username and password or complies with any other of our security procedures, which we may put in place from time to time and any action by that person will be taken to be by you. As such you understand that you must not tell anyone your password, including any member of your family, your representative or your power of attorney;
- understand that you must tell us immediately if you realise or suspect anyone else knows your password;
- you release and indemnify us from and against all liability which may be suffered by you or brought against us in respect of:
  - any act or omission of your authorised representative, whether authorised by you or not; and
  - your use, or purported use, of the ClearView Portal;
- understand that in order to receive email notification of any important information including updates to your ClearView Managed Investments account information on through the ClearView Portal, you will need to let us know your current and active email address, and notify us immediately if this email address changes at any time in the future.

In this section, all references to 'we' and 'us' are intended to include a reference to ClearView Financial Management Limited and any service provider appointed by us from time to time. We will hold the benefit of (and may enforce) the above representations, declarations, releases and indemnities in this section for our own benefit and for the benefit of any such service provider.

If there is more than one investor, all investors must sign. Where a company/corporate trustee is an investor please ensure that this Application Form is signed by: (a) two directors; or (b) a director and a company secretary; or (c) the sole director and sole company secretary.

Investor

Full name (print clearly in block letters)

Type of investor

☐ Individual ☐ Joint investor 1 ☐ Director 1 ☐ Sole director and sole company secretary

☐ Trustee 1 ☐ Partner 1

Signature of Investor

✘

Date signed

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Second Investor (if applicable)

Full name (print clearly in block letters)

Type of investor

☐ Joint investor 2 ☐ Director 2 ☐ Trustee 2 ☐ Company Secretary ☐ Partner 2

Signature of joint investor

✘

Date signed

D D M M Y Y Y Y

Section 6: Financial adviser declarations and signature

By submitting this Application Form for ClearView Managed Investments, you as the financial adviser (you) will be deemed to have made the following declarations and representations;

You confirm you:

- hold all licences and/or authorities which are required under the Corporations Act 2001 (**Cth**) to provide advice in relation to ClearView Managed Investments, to arrange the issue of interests in ClearView Managed Investments and to do all things contemplated by the latest Product Disclosure Statement (**PDS**) for the product;
- have arranged the issue of an interest in ClearView Managed Investments pursuant to an arrangement with us;
- have ensured that the applicant has received the current Target Market Determination, PDS, the AIB and all necessary forms at the same time;
- have provided the applicant with all information and advice necessary for the applicant to understand the nature and risks of an investment in or through ClearView Managed Investments and the impact of the PDS, the Constitution and the investor declarations and representations set out previously in this Application Form;
- have made due enquiry in to the applicant's financial situation, investment needs, goals and objectives, and have formulated the investment strategy recommendation in accordance with this;
- recommended investments that produce an asset allocation and risk profile consistent with the applicant's selected investment strategy;
- have disclosed all fees, charges and remuneration payable in respect of ClearView Managed Investments;
- will obtain instructions from the applicant, and provide the applicant with all information necessary to outline the nature and risks of making any investment transaction through ClearView Managed Investments, before instructing us to make an investment transaction or any other change in respect of the applicant's account.

For anti-money laundering and counter-terrorism financing (**AML/CTF**) purposes you acknowledge and agree you have carried out the necessary KYC obligations as required under AML/CTF laws and will provide us with any additional information we may request from time to time about the applicant.

You confirm you:

- will provide clear and legible instructions to us by a means acceptable to us; and
- will indemnify us in respect of any losses or liabilities arising as a result of our reliance on those instructions or any of the representations and declarations in this section being breached or being shown on the balance of probabilities to be untrue, incorrect or misleading on any one or more occasions.

Signature of financial adviser	Date signed
✘	D D M M Y Y Y Y

Financial adviser full name (print clearly in block letters)

Section 7: Identification - individuals

You and your financial adviser can verify your identity in two ways for the purposes of Anti-Money Laundering and Counter-Terrorism Financing Laws. You can either:

Option 1

Provide a certified copy of primary or secondary identification document(s) e.g. drivers licence or passport. For a full list of acceptable documents please refer to **clearview.com.au/ID**.

OR

Option 2

Complete the Identification and verification form on the following page.

Identification and verification form

FINANCIAL ADVISER USE ONLY

Verify the **individual's** full name and date of birth OR full name and residential address.

Receipt of a completed form will constitute your agreement as a reporting entity that you have completed the identification and verification of the investor for the purposes of Anti-Money Laundering and Counter-Terrorism Financing Laws.

First Investor

ID document details	Document 1	Document 2
Verified from	☐ Original ☐ Certified copy	☐ Original ☐ Certified copy
Document issuer		
Issue date	DDMMYYYY	DDMMYYYY
Expiry date	DDMMYYYY	DDMMYYYY
Document number		
Accredited English translation	☐ N/A ☐ Sighted	☐ N/A ☐ Sighted

Second Investor (if applicable)

ID document details	Document 1	Document 2
Verified from	☐ Original ☐ Certified copy	☐ Original ☐ Certified copy
Document issuer		
Issue date	DDMMYYYY	DDMMYYYY
Expiry date	DDMMYYYY	DDMMYYYY
Document number		
Accredited English translation	☐ N/A ☐ Sighted	☐ N/A ☐ Sighted

Date verified

DDMMYYYY

AFS Licence number

Phone number

( )

Financial adviser full name (print clearly in block letters)

Dealer group

Financial adviser signature

✘

Section 8: Identification company/SMSF/trusts

Complete the appropriate identification and verification form which can be downloaded from **clearview.com.au/forms**

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Sending your Application Form

Please send the Application Form to us via email or mail.

Mailing address:
ClearView Wealth
GPO Box 4232
Sydney NSW 2001

Email address:
client.wealth@clearview.com.au

If you have any questions or need help please call our Service Centre on **132 977**.

CVW_0401 04/22

ClearView Managed Investments is issued by ClearView Financial Management Limited ABN 99 067 544 549 AFS Licence No. 227677.