

Advance Alliance Investment Funds

Advance Investment Funds

ADVANCE
ASSET MANAGEMENT

New Adviser Registration Request

Advance Asset Management Limited ABN 98 002 538 329 AFSL 240902

GUIDE TO COMPLETING THIS FORM

- > Complete this form using **black pen** – print in clear **CAPITAL LETTERS**.
- > Once completed, follow the instructions on the back page to return your form to Advance.
- > Questions? Call Advance Adviser Services on **1800 650 498** or email **adviserservices@advance.com.au**.

PRIVACY STATEMENT

Why we collect your personal information

We collect personal information from you to process your application to register as a new adviser, ensure you receive product and other important updates, and otherwise manage your relationship with us. We may also use your information to comply with legislative or regulatory requirements in any jurisdiction, prevent fraud, crime or other activity that may cause harm in relation to our products or services and help us run our business.

If you do not provide all the information we request, we may need to reject your application, or we may no longer be able to provide a service to you.

Disclosing your personal information

We may disclose your personal information to other members of the Westpac Group, anyone we engage to do something on our behalf such as a service provider, other organisations that assist us with our business, government agencies, reinsurers and claims investigators.

We may disclose your personal information to an entity which is located outside Australia. Details of the countries where the overseas recipients are likely to be located are in our privacy policy.

Other important information

We are authorised to collect personal information from you by certain laws. Details of these laws are in our privacy policy.

The Advance Privacy Policy is available at **advance.com.au** or by calling **1800 650 498**. The Advance Privacy Policy covers:

- > how you can access the personal information we hold about you and ask for it to be corrected
- > how you may complain about a breach of the Australian Privacy Principles, or a registered privacy code and how we will deal with your complaint
- > how we collect, hold, use and disclose your personal information in more detail.

The Advance Privacy Policy may be updated from time to time.

Where you have provided information about another individual, you must make them aware of that fact and the contents of this Privacy Statement.

Definitions

'We', 'our', 'us' means Advance Asset Management Limited.

'Westpac Group' means Westpac Banking Corporation and its related bodies corporate.

1. NEW ADVISER DETAILS

Title

Mr Mrs Miss Ms Other

Given name(s)

Surname

2. NEW ADVISER CONTACT DETAILS

Office address

<input type="text"/>		
<input type="text"/>		
<input type="text"/>	State	Postcode
Country, if not Australia	<input type="text"/>	

Postal address – if different from above

<input type="text"/>		
<input type="text"/>		
<input type="text"/>	State	Postcode
Country, if not Australia	<input type="text"/>	

Work phone number

<input type="text"/>	<input type="text"/>
----------------------	----------------------

Mobile phone number

Fax number

<input type="text"/>	<input type="text"/>
----------------------	----------------------

Email address



DEC11AD10538

3. DEALER GROUP DETAILS

Dealer group name

Please provide the adviser's AFSL Number/ASIC Authorised Representative Number and attach a copy of AFSL.

4. FEES

Please select from the following:

Please pay my fees directly to my nominated bank account given in Section 5

OR

Please pay my fees to the dealer nominated in Section 3
Dealer group no.

5. EXTERNAL BANK ACCOUNT DETAILS

Fees will be paid into the following account:

Name of financial institution

Branch name

BSB number

Account number

Account holder's name(s)

6. TAXATION DETAILS

Please provide the Australian Business Number (ABN) of the Licensee. Fees cannot be paid if an ABN is not supplied.

Australian Business Number (ABN)

7. INVESTOR TRANSFER

Are investors being transferred to the new adviser?

No Yes

➤ To complete the investor transfer, Advance requires you to submit a spreadsheet with the client numbers and full names of all investors that are being transferred.

If the transfer is occurring between dealer groups. Advance requires the following information.

- > A letter from the old dealer group authorising the release of the investors. We've attached a template for this letter for your convenience. The letter should be provided on dealer group letterhead.
- > A letter from the new dealer group accepting the transfer of the investors. We've also supplied a template for this letter. This letter must be provided on dealer group company letterhead.

8. ADVISER SIGNATURE

Signature of adviser

Date (dd/mm/yy)

Signatory's full name (please print)

Adviser's stamp (please use black ink only)

SEND THIS COMPLETED FORM TO:

By Post: Advance Asset Management
GPO Box B87
Perth WA 6838

By Fax: 02 9274 5211

FOR FURTHER ASSISTANCE CONTACT:

ADVISER SERVICES
1800 650 498

FAX
02 9274 5211

EMAIL ADDRESS

adviserservices@advance.com.au

INTERNET ADDRESS

advance.com.au

ADVANCE
ASSET MANAGEMENT



DEC|X|AD10538

[COMPANY LETTERHEAD]

Letter of Authority to Act on Behalf of Dealer Group

Advance Adviser Services

Please set up [*insert adviser name*] as an authorised representative of [*insert Dealer Group name*].

Signed by
[*Print name*]

Dealer Group Principal
[*Insert date*]



[COMPANY LETTERHEAD]

Dealer Group Release of Investors

Advance Adviser Services

[Insert Dealer Group name] authorises the release of the investors listed in the attached spreadsheet to [insert adviser name and adviser code].

Signed by
[Print name]

Dealer Group Principal
[Insert date]



[COMPANY LETTERHEAD]

Dealer Group Acceptance of Investors

Advance Adviser Services

[*Insert Dealer Group name*] accepts the transfer of the investors listed in the attached spreadsheet. These investors should be allocated to [*insert adviser name*].

Signed by
[*Print name*]

Dealer Group Principal
[*Insert date*]

