

Before you start

The AUSIEX Portfolio Reporting Service is a Service:

- provided by Australian Investment Exchange Limited (AUSIEX, the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400;
- offered to you as Client by your Adviser; and
- as defined in the AUSIEX Share Trading Terms and Conditions applicable to the client and AUSIEX Terms of Access applicable to the Adviser (together the "Terms") available at www.ausieux.com.au.

By using this Service, you are bound by the relevant Terms.

1. Client Details

Trading account number

Trading account name

Legal Entity for Tax Purposes

Individual

Joint Investors

Partnerships

SMSF

Trust

Company

Details of Account Holder/s who will have access to the reporting portal:

Account Holder 1

Full name

Email address

Account Holder 2 (if applicable)

Full name

Email address

Account Holder 3 (if applicable)

Full name

Email address

2. Adviser Details

Adviser name

AUSIEX adviser code

Assistant Adviser/Administrator

AUSIEX user code

3. Linked Cash Account

- i**
- Each account registered for the AUSIEX Portfolio Reporting Service must be linked to its own Cash Account as supported by AUSIEX.
 - If you are linking a Macquarie Cash Management Account (CMA), you will need to complete the appropriate Macquarie 'Third Party Authority' form available from Macquarie's website called the 'Financial Services Professional or Company Third Party Authority' form. Please select 'Enquiry Authority' and enter company code D642 for AUSIEX to access your linked CMA account, if this is not already in place. AUSIEX requires your 'Enquiry Authority' to view transactions to provide the Portfolio Reporting Service to you. Please speak to your adviser for more information and for assistance with completing the Macquarie 'Third Party Authority' form, if required.
 - If you are linking an Australian Money Market (AMM) account, please provide the AMM Facility ID number below, and most recent AMM holdings statement.

Bank account name

BSB

Bank account number

AMM Facility ID (if applicable)

Macquarie ESI code (if applicable)

4. Asset Schedule

An Asset Schedule with current cost bases for all holdings must be provided as a supporting document to this form (please use the template below as a reference guide for the information required).

Please supply the details of your Open Parcels, including the date of purchase, the number of securities and current cost base for each parcel held in your clients' portfolio. All cost bases must be adjusted for any Corporate Actions relating to the asset. AUSIEX assume that cost bases have been adjusted for all prior distributions of non-assessable amounts.

Where cost base information is not provided, a zero cost base will be entered, along with a Purchase Date equal to the Transfer Date. Please note until this has been rectified, your tax reporting may be incorrect, and any realised gains may be inaccurate.

Date at which Cost Base cited below applies – DD/MM/YYYY

ASX code	Security name	Purchase date	Number of units	Current cost base (as at above date)	Is there a Dividend Reinvestment Plan currently in place? (Y/N)
<i>Example: BHP</i>	<i>BHP Group Ltd</i>	<i>04/05/2015</i>	<i>203</i>	<i>\$5,349.05</i>	<i>Y</i>

To provide more than 10 rows, please complete the Asset Schedule template available on our website or by contacting service@ausiex.com.au or 1800 252 351.

Tax Parcel Disposal Method

AUSIEX is not a registered tax agent and the tax information contained in this form should not be relied upon to determine your personal tax obligations.

Minimise – defer gains Maximise – accelerate gains First in – first out

Reporting Preference

Quarterly reporting & annual tax reporting Monthly reporting & annual tax reporting Annual tax reporting only

Company or Superannuation Fund Accounts (if applicable)

Percentage of GST applied

Is the account registered for GST purposes?	Yes	No	<input type="text"/>	%
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Foreign Residency Status (if applicable)

Only complete the below section if you are **not** an Australian resident for taxation purposes:

Country of residence	Residency withholding tax percentage	Residency effective from – DD/MM/YY
<input type="text"/>	<input type="text"/> %	<input type="text"/>

5. Portfolio Reporting Service - Additional Terms of Service

In the event of any inconsistency between the provisions of this Agreement and the provisions of the AUSIEX Share Trading Terms and Conditions, the AUSIEX Share Trading Terms and Conditions shall prevail to the extent of any such inconsistency.

Definitions contained in the AUSIEX Share Trading Terms and Conditions apply.

These Terms of Service are specific to the AUSIEX Portfolio Reporting Service.

6. Client Declaration to AUSIEX Portfolio Reporting Service Terms and Conditions

By completing and signing this Client Declaration:

1. I/We acknowledge that we have read, understand, and agree to these terms of Service as they relate to the AUSIEX Portfolio Reporting Service ('the Service') and that we wish to apply to participate in Portfolio.
2. I/We acknowledge that we must have an AUSIEX Share Trading Account.
3. I/We understand that AUSIEX may, in its absolute discretion, accept or reject my application and is not liable in respect of any loss incurred by me/us as a result of its decision.
4. I/We declare that the details as shown on this form are complete and correct.
5. I/We understand that the changes to the Service (additional or removal) are unable to be processed whilst there are trades in the market on my/our account.
6. AUSIEX believes that the information provided in the course of the Service is accurate as at this time and date of issue. However, AUSIEX provides no warranty of accuracy or reliability in relation to any information provided in the course of the Service.
7. AUSIEX does not provide personal advice and is not a registered tax agent. The tax information contained in Portfolio should not be relied upon to determine your personal tax obligations.

8. AUSIEX does not provide investment recommendations or regulatory advice. The value of investments and future returns may rise or fall and, at times, returns may be negative. Past performance is not a guarantee of future performance. You should consult your own Adviser in respect to your own financial circumstances.
9. I/We understand that, for the purposes of AUSIEX carrying out the Service, this authority will enable the sharing of my/our information in respect of my/our trading and holdings data to a third party appointed by AUSIEX, in accordance with the AUSIEX Privacy Policy.

10. For electronic signatures only

I/We agree that if I/we choose to execute this document which is required by the Participant, utilising DocuSign, I/We acknowledge that:

- a. I/We are signing this application form electronically and that my/our electronic signature is equivalent to my/our 'wet ink' signature;
- b. I/We are legally bound to the terms and conditions of this form; and
- c. I/We confirm that my/our electronic signature is valid and that I/we are authorised to enter into the relevant agreement with the Participant as described in this form.

All account holders must sign this declaration.

Applicant 1

Full name

Date signed – DD/MM/YYYY

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Signature – *Must be signed pen to paper with the exception of using DocuSign*

Applicant 2 – If applicable

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper with the exception of using DocuSign*

Applicant 3 – If applicable

Full name

Date signed – DD/MM/YYYY

 / /

Signature – *Must be signed pen to paper with the exception of using DocuSign*

i If there are more than 3 applicants, please copy this page, complete and attach to your application.

7. AUSIEX Portfolio Reporting Services Adviser Agreement (together the "Agreement")

These Terms of Service are specific to the AUSIEX Portfolio Reporting Service.

Definitions contained in the AUSIEX Terms of Access apply.

1. THE ADVISER'S COMMITMENT

- 1.1 The Adviser must for the duration of this Agreement:
- maintain an AUSIEX Share Trading Account for the Client for which this Service is being provided;
 - the Client must be party to a CHESS Sponsorship Agreement;
 - provide to AUSIEX full disclosure that is correct and is not misleading, of all information required by AUSIEX in order to provide the Service; and
 - notify AUSIEX in writing within five (5) Business Days of any change from time to time in any information provided to AUSIEX in the application form or in connection with the Service.
- 1.2 The Adviser will promptly advise AUSIEX of any material change in circumstances which might affect their ability to meet their obligations under this Agreement, or AUSIEX's performance of the Services or necessitate changes in the investment holdings operations of the Portfolio Reporting Service account.
- 1.3 The Adviser must, to establish the Service, and if required by AUSIEX from time to time, fully complete, sign and provide all the required establishment paperwork to the satisfaction of AUSIEX, including an Asset Schedule outlining all the supported Client's investments to be loaded for the Service.

2. FEES

- 2.1 The AFS Licensee must for the duration of provision of the Service pay the Fees in full in accordance with the current Fee Schedule on their due dates for payment without any deduction, set off or counterclaim.
- 2.2 The AFS Licensee will pay AUSIEX for the Services on the basis of the Fees. AUSIEX may from time to time amend the Fees and the Fee Schedule after giving notice to the AFS Licensee and/or Adviser of no less than seven (7) days to the postal or electronic address last notified to AUSIEX by the AFS Licensee and/or Adviser.
- 2.3 The AFS Licensee must pay all Fees up to and including the date on which AUSIEX closes the Portfolio Reporting Service account(s).

3. LIMITATION OF LIABILITY

- 3.1 AUSIEX's liability if it is negligent or breaches its obligations in performing the Services, is limited to the amount of Fees received from the AFS Licensee over the period of 2 years prior to the date on which that negligence or breach first occurs.

4. ROLE OF AUSIEX AND SERVICES TO BE PROVIDED

- 4.1 Subject to AUSIEX receiving the information it requires and on time from the Client's authorised representative and third party data sources selected by AUSIEX, AUSIEX will perform the following portfolio reporting services for the Client in respect of the Client's investments based on the information obtained by AUSIEX from the authorised representative and those third party data sources:
- at a minimum, an annual report in relation to the Client's Investments including:
 - a market value report;
 - a transactions summary report;
 - an income and expense report; and
 - a sales summary report, in those forms and containing that information as AUSIEX may from time to time reasonably determine;
 - annual taxation reporting in relation to the Client's Portfolio Reporting Service account; and
 - The Service may also include other services as notified to the Adviser by AUSIEX from time to time.
- 4.2 AUSIEX will only provide the Service in respect of the Client's investment in relation to assets or classes or types of assets (including money) as AUSIEX determines from time to time (either generally or in relation to a particular Client).

Fee Schedule (including GST)

Our minimum Fee for the Service is \$528 per annum, per portfolio (inclusive of GST). AUSIEX in its discretion will determine which services will attract the minimum Fee and which would incur additional Fees. Services may include but are not limited to:

- Portfolio Administration Services
- Transaction, income and expenditure reporting
- Portfolio Valuation
- Asset Class Summaries
- Capital Gains Tax Reporting
- Statement of Income and Expenses
- Cash Summaries

Fees will be invoiced monthly to the AFS Licensee in arrears for each portfolio and will be charged the minimum monthly amount, irrespective of the number of days the Service was active for that portfolio in the previous month.

8. Adviser Declaration to AUSIEX Portfolio Reporting Service Terms and Conditions

In the event of any inconsistency between the provisions of this Agreement and the AUSIEX Terms of Access, the AUSIEX Terms of Access shall prevail.

By completing and signing this application, I/we acknowledge that we have read, understand and agree that I/we:

1. Have read and agree to the terms in the Dealer Group Agreement and/or Adviser Terms of Access which relate to the provision of the nominated Service.
2. Acknowledge that the fees in relation to the AUSIEX Portfolio Reporting Service ('the Service') will be paid by the AFS Licensee.
3. AUSIEX is authorised to take instructions from me on behalf of the Client; or another Authorised Representative of my AFS Licensee where the AFS Licensee has authorised them to act on behalf of the Client.
4. Hereby apply to participate in the Service on the terms and conditions set out in this Agreement, which I have read and agree to be bound by.
5. Understand that AUSIEX may, in its absolute discretion, accept or reject my Client's application and is not liable in respect of any loss incurred by me as a result of its decision.
6. I understand that the additional services have monthly fees as indicated in the pricing schedule (subject to variation). I authorise AUSIEX to deduct any fees charged to the AFS Licensee in the end of month payment process.
7. Acknowledge that it is my responsibly as the Adviser to provide my Client with an AUSIEX Financial Services Guide (FSG) and any other relevant documentation. Any disputes between myself/ourselves and AUSIEX and/or the Client and AUSIEX will be settled according to the process stipulated in this Agreement.
8. Understand and acknowledge that the law requires signatories to provide true and correct information and state all the names by which they are commonly known. I also understand the law prohibits the use of false names, as well as giving, use or production of false or misleading information or documents in connection with the provision of financial services and the making, possession or use of a false document in connection with an identification procedure.

9. Acknowledge that the I/we have read and understood the AUSIEX Privacy Policy contained on the AUSIEX website.
10. Declare that the details as shown on this form are complete and correct.
11. AUSIEX believes that the information provided in the course of the Service is accurate as at the time and date of issue. However, AUSIEX provides no warranty of accuracy or reliability in relation to any information provided in the course of the Service.
12. AUSIEX does not provide personal advice and is not a registered tax agent. The tax information provided in the course of the Service should not be relied upon to determine your personal tax obligations. The value of investments and future returns may rise or fall and, at times, returns may be negative. Past performance is not a guarantee of future performance.
13. I acknowledge that I am responsible to promptly inform AUSIEX if there is any change to my status as an authorised representative of an AFS Licensee.

14. For electronic signatures only

I agree that if I choose to sign this document utilising DocuSign, I acknowledge that:

- a. I hold an authorised, current, and valid licence for DocuSign;
- b. I have advised the signatory of this document that they are signing electronically;
- c. I am signing this application form electronically and that my electronic signature is equivalent to my 'wet ink' signature;
- d. I am legally bound to the terms and conditions of this form; and
- e. I confirm that my electronic signature is valid and that I am authorised to enter into the relevant agreement with the Participant as described in this form.

Adviser name

Date signed – DD/MM/YYYY

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Signature – *Must be signed pen to paper with the exception of using DocuSign*

Share Trading is a service provided by Australian Investment Exchange Limited (AUSIEX, the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a Market Participant of the ASX Limited and Cboe Australia Pty Ltd, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

How to submit your documents

Clients

Please provide your completed and signed form with relevant supporting documents to your adviser.

Advisers

Lodge this form and all supporting documents
ausiex.com.au > Administration > eSubmit

