

Australian Expatriate Superannuation Fund

Adviser Appointment & Removal Form

Form **2**

The Trustee

will only accept this form if it is correctly and fully completed.

Any questions, call
Member Services 1300 323 489

You can use this form to appoint a new financial adviser and the fees we are to pay to them in respect of your AESF [i.e. separately from the underlying investments of the pension]. You can also use this form to remove the current appointed financial adviser on your account.

When complete

email or post this form:

australia@ivcm.com

IVCM (Aust) Pty Ltd

201 Sussex Street, Tower 2,
Level 20, Darling Park,
Sydney, NSW 2000

Issued by the Trustee
Diversa Trustees Limited
ABN 49 006 421 638
AFSL 235153
RSE Licence L0000635

1. Member details

Member number/s

Full name

Date of birth [dd/mm/yy]

Email address

2. Nature of Request

Appoint a new Financial Adviser with full servicing rights

Please complete form in full

Complete removal of your current Financial Adviser

Please complete section 3 and sign at section 5

3. Financial Adviser Details

Adviser's Full Name

Adviser's Business Name

Full Name of the Australian
Financial Services License Holder
under which the adviser operates

AFS Representative No.
[If applicable]

Email address 1

Email address 2

Telephone number

Fax number

Remove the current Financial
Adviser

Adviser's Full Business Name
to be Removed

4. Financial Adviser Remuneration

Please only complete this section if you have appointed an authorised Financial Adviser, who shall receive either an initial fee and or an ongoing fee that shall be deducted from your Australian Expatriate Superannuation Account.

4.1 Initial Fee

Initial Advice Fee \$ plus GST **Or** % plus GST

Note: If no initial advice fee is nominated, 0% / \$0.00 will apply to the initial advice fee. The maximum upfront advice fee is 3% plus GST.

Is this fee inclusive of GST? Yes ☐ No ☐

4.2 Ongoing Fee

Your ongoing adviser may differ to your initial adviser therefore please confirm where an ongoing fee is arranged the following:

Please tick one of the following:

☐ My financial adviser for the ongoing advice is the same as the initial adviser details above (tick if applicable and move to section 4.3)

☐ My financial adviser for the ongoing advice is **NOT** the same as the initial adviser details above (tick if applicable and complete section 4.3)

Please note that we will get in touch with the ongoing adviser after the initial fee had been paid. We will require a new Form 2 signed by the ongoing adviser & member.

4.3 Ongoing Adviser Fee Instruction

I consent and authorise the trustees to deduct the initial and/or ongoing fees, stated above, from my AESF account to pay my financial adviser [Details in Section 3] for the ongoing advice and service provided.

Ongoing Advice Fee \$ **Or** %

Note: If no ongoing advice fee is nominated, 0% / \$0.00 will apply. The maximum ongoing advice fee is 1% plus GST.

Is this fee inclusive of GST? Yes ☐ No ☐

Please note that ongoing fee arrangements are to be renewed and instructed annually. Note that, the ongoing fee arrangement stated in this form is not payable for a period longer than 12 months. You will be required to submit a new **Form 14 - Adviser Fee Renewal Form**, each year, which must be signed by you and your Financial Adviser.

Please provide the anniversary of the date you have entered into your arrangement with your adviser

Note:

Please note that ongoing fee arrangements are to be renewed and instructed annually. Your consent will cease to have effect up to 150 days after the anniversary date and you can withdraw your consent, terminate or vary this ongoing fee arrangement at any time by notice in writing to your adviser. After your consent expires, AESF is no longer able to deduct fees from your account in return for services under your ongoing fee arrangement with your adviser unless you provide a new consent form. Your financial adviser shall be required to disclose to you in writing the total fees chargeable and outline the services that will be provided to you during the following 12-month period. A separate ongoing adviser fee disclosure statement should be provided to you every 12 months by your Financial Adviser. Failure to provide such an agreement could result in NO ongoing fees being paid to the Financial Adviser.

When complete

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5. Member Declaration

I acknowledge that the adviser fee laid out in this form, I have negotiated with my financial adviser.

I fully understand that any future payments agreed between myself and the adviser that are to be paid through my Australian Expatriate Superannuation Fund shall be instructed under separate cover.

I fully understand that any ongoing fee arrangements are to be renewed and instructed annually to the Australian Expatriate Superannuation Fund.

The Trustee reserves the right to contact either you or your financial adviser to confirm that:

- You authorised the deductions to be made from your AESF account.
- The deductions are consistent with the authorisations and disclosures provided to you by your adviser.
- You've been provided the services for which the fees relate to.
- The adviser fees deducted from your super account only relate to advice and or services relating solely to your superannuation or insurance within superannuation.
- The fees deducted from your account for the advice services are in your best interest.
- You and your Financial Adviser authorised AESF to see the Statement of Advice (SOA).

E-signatures not accepted*Signature of Member**

Date [dd/mm/yyyy]

Signature of Financial Adviser

Date [dd/mm/yyyy]

Full name of Financial Adviser

The AESF Trustees have agreed that the following advice strategies fall within the Sole Purpose Test:

- Contributions (including as a result of cash flow analysis to determine ability to contribute);
- Investment strategy;
- Super consolidation to AESF;
- AESF transition to retirement;
- AESF pension account establishment and income payments;
- Retirement planning as it relates to AESF account;
- Estate planning to the extent of beneficiary nomination (binding death benefit nomination or reversionary pension nomination) within AESF accumulation and pension accounts;
- Centrelink planning in relation to AESF accounts;
- Insurance held within AESF; and
- Current and future fund benefits as they relate to disability or terminal illness claims and the resultant future income needs of the member.

Examples of advice that cannot be paid under this arrangement:

- Any product or financial advice that is not related to the member's AESF Superannuation Fund account;
- Transferring any amount of the member's account/s to any superannuation fund other than AESF;
- Withdrawing funds from the member/s account for non-superannuation purposes;
- Wealth creation;
- Gearing;
- Investment strategies outside super;
- External insurance advice, paid for by the AESF member via personal cashflow or rollover from AESF.
- Estate planning (except nomination of beneficiary within AESF);
- Cash flow management applied to budgeting, debt management and other forms of non-super saving;
- Super contributions to a Fund that is not AESF;
- Choice of fund for any Superannuation Fund that is not the member's AESF Superannuation account;
- Debt management;
- Self-Managed Super Fund;
- Salary packaging (except salary sacrifice to AESF); and
- Transactional assistance where a personal advice document is not provided.