

PRIVATE WEALTH SERVICE **COVERSHEET**

BELL POTTER

ACCOUNT INFORMATION

Account Number	Account Name
Account Designation (if applicable)	

☐ PWS	☐ PWSBRO (Brokerage Free Rate)
☐ Discretionary Account (Please attach MDA Agreement)	☐ Non-resident for tax purposes
☐ Margin Lending	HIN

CASH TRADING ACCOUNT DETAILS

☐ Macquarie Cash Management Account	☐ Macquarie Accelerator Account	☐ Bell Potter Cash Trust Account
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Complete prior to Application Form submission

☐ Confirm bank account(s) are linked on Fusion	☐ Verify bank account is not linked to another Fusion account
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DEBIT/CREDIT INSTRUCTIONS FOR FEES & INCOME

☐ Cash Trading Account (as above)	☐ Margin Lending Account
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TRADE MATCH TYPE (Please note, if no option is selected, the default method will be used)

☐ FIFO	☐ MIN GAIN	☐ MAX GAIN	☐ Manual
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FEES

☐ Family Grouped for Billing	Linked Accounts
☐ Fee Exceptions	☐ Fee Approval Attached
☐ OFA letter signed and approved by Financial Planning team	

Please note: Fee exceptions must match across all accounts in family group

Special Fee Instructions
Comments

INVESTMENT & COST BASE HISTORY

☐ Cash Only	☐ All securities acquired via Bell Potter	Estimated Portfolio Value
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Assets Transferring in

☐ Assets from Deceased Estate	☐ Issuer Sponsored Holdings	☐ Managed Funds	☐ Non-standard Assets
☐ Self-Managed Super Fund	☐ Listed ASX - HIN from another CHESS Participant		

ADVISER NOTES / SPECIAL INSTRUCTIONS

Completed by Adviser/DA	Date
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TEAM LEADER TO COMPLETE

☐ Application checked for completeness	☐ LPOA signed	☐ Ongoing Fees (OFA)
☐ Fees checked and custom fee approval reviewed	☐ Account added to New Account Register	
☐ Fees Approved by Senior Leadership	☐ Fee Allocation in Praemium	
Signed off by	Date	

APPENDIX A: ACCOUNT ESTABLISHMENT & RECONSTRUCTION – COST BASE INFORMATION

PWS provides full financial year CGT reporting as part of its service. The below specifies the required documentation in order to assist with the reconstruction of a client's portfolio.

This information can be sourced from a previous administrator, broker, accountant, share registries or via client records.

Please Note: Details provided for Cost Base reconstruction should be the original acquisition date and price or reduced Cost Base for each individual parcel. An average cost/total cost for number of shares held is insufficient to reconstruct a client portfolio. If accurate Cost History is unknown/cannot be supplied for a specific parcel or asset, an acquisition date of unknown and zero cost will be applied. A CGT calculation will not be provided for these parcels/assets.

For assets transferring onto the service, please provide as applicable:

	Account previously on a portfolio administration platform/ accountant	- Portfolio Valuation (as at 30 June and date prior to stocks transferring) - Transaction History (from 30 June to date) - Realised and Unrealised CGT (from 1 July to date)
	Listed Holdings – HIN from another Broker/ Margin Lender	- Portfolio Valuation (as at 30 June and date prior to stocks transferring) - Transaction History (from inception to date)
	Off Market Transfers – No change of Beneficial Owner	- Cost History of purchases and sales, including corporate actions taken up
	Off Market Transfer – Change of Beneficial Owner	- Consideration and date of purchase
	Issuer Sponsored Holdings	- Holding Statement (clearly showing registration details and SRN) - Transaction Statement - Cost History of purchases and sales, including corporate actions taken up
	Beneficiary of a Deceased Estate	- Original Cost History of the Estate - Date of Death of the Individual
	Individual to Joint Account (Individual's original cost will be carried forward)	- Individual's original Cost History
	From a Wrap Service (Assets will be only be reported from transfer in date)	- Refer to individual asset requirements
	Managed Funds	- Current Statement (clearly showing the Investor Number) - Transferring funds from a Wrap service into the client's name can be complex. PWS will advise you on the process where applicable
	Non-standard Assets	- Holding Statement (clearly showing registration details and Investor Number) - Transaction Statement - Cost History of purchases and sales
	Super Funds	- Require an Unrealised CGT report as at 30 June and subsequent transactions from 1 July

PRIVATE WEALTH SERVICE APPLICATION FORM

PRIVATE WEALTH SERVICE APPLICATION FORM



This application form is based on the Bell Potter Private Wealth Service Client Guide issued by Bell Potter Securities Limited.

SECTION 1: ACCOUNT DETAILS

Account Number	Account Name
Account Designation (if applicable)	

Applicant 1 / Director 1 / Trustee 1

Title, Given Name(s) and Surname

Applicant 2 / Director 2 / Secretary / Trustee 2

Title, Given Name(s) and Surname

Applicant 3 / Trustee 3

Title, Given Name(s) and Surname

Applicant 4 / Trustee 4

Title, Given Name(s) and Surname

SECTION 2: POSTAL ADDRESS

(correspondence from Bell Potter will be sent to this address)

Postal Address		
State	Postcode	Country

SECTION 3: OWNERSHIP STRUCTURE

☐ Individual	☐ Joint	☐ Trust
☐ Company	☐ Superannuation Fund	☐ Other (please specify)

SECTION 4: TAX FILE NUMBER/AUSTRALIAN BUSINESS NUMBER

Please supply TFN/ABN applicable to the ownership structure in section 3.

Applicant 1	Applicant 2	Applicant 3	Applicant 4
Company, Super Fund or Trust			

Quotation of your Tax File Number(s) is optional. If we are unable to provide your Tax File Number or exemption to registries they may be obliged to deduct tax at the highest marginal rate from any investment income. If the account is for a Company, Superannuation Fund or Trust, please provide the TFN for that entity.

SECTION 5: COUNTRY OF TAX RESIDENCE

Are you a resident for Australian taxation purposes?	☐ Yes	☐ No
If no, please provide your full address below		
Address		
	Postcode (if applicable)	Country



SECTION 6: MARGIN LENDING ACCOUNT

Is this a Margin lending account? If yes complete below, if no, move to Section 7. ☐ Yes ☐ No

Margin Lending Provider Name

Margin Lending Facility Account Number

Margin Lending Client Code

I authorise Bell Potter Securities Limited to:

Debit the portfolio service fee from (please tick) ☐ Margin loan facility or ☐ Cash account/Direct debit

Redirect dividends and distributions to my margin loan facility ☐ Yes ☐ No

SECTION 7: CASH TRADING ACCOUNT/INVESTMENT AMOUNT/COST HISTORY

Cash Trading Account

☐ Yes, I require a Cash Trading Account to be established for my Private Wealth service.

☐ No, I have an approved cash account already. Please provide existing account details below.

Account Name

BSBAccount Number

Estimated Portfolio Value

Assets to be provided to the account via:

☐ Cash Deposit

and/or

☐ Securities in the account acquired via Bell Potter

and/or

☐ Securities in the portfolio not purchased through Bell Potter and transferred in from multiple sources.
Complete Portfolio Assets transferring in below (*)

(*) Portfolio Assets transferring in – tick if applicable

☐ Listed ASX – HIN from another CHESS Participant	☐ Assets from Deceased Estate
☐ Self Managed Super Fund	☐ Managed Funds
☐ Issuer Sponsored Holdings	☐ Non-standard Assets

Please note:

If investments are transferred, all historical information detailing the acquisition dates, number of units, transaction type, and cost base of each individual investment must be provided. Without this information we cannot provide accurate capital gains tax positions. This information may be sourced from a previous administrator, accountant, broker statements or your personal records.



SECTION 8: LIMITED POWER OF ATTORNEY

Account Number	Account Name
Account Designation (if applicable)	
Applicant 1 / Director 1 / Trustee 1	Applicant 2 / Director 2 / Secretary / Trustee 2
Applicant 3 / Trustee 3	Applicant 4 / Trustee 4

In order for the Bell Potter Portfolio Service to be provided to the account stated above, the client named above (Client) hereby grants a limited power of attorney (LPOA) to Bell Potter Securities Limited ABN 25 006 390 772 (Bell Potter) and Praemium Limited ABN 74 098 405 826 (Praemium) and any authorised officer of Bell Potter, Praemium or their wholly owned subsidiaries (jointly and/or severally) (each an Attorney) to undertake and perform all actions and functions that are necessary, usual or desirable on the Client’s behalf to provide the Portfolio Service, including without limitation to:

- a. apply for, complete and execute an application form to open a cash management account or investment account with any bank, financial institution or financial service provider;
- b. subscribe for, apply for, buy, sell, transfer, redeem or otherwise deal with listed Australian and international securities, an investor directed portfolio service (IDPS), managed funds, exchange traded options (ETOs), exchange traded funds (ETFs), cash, fixed interest and other financial products and complete and execute forms required for this purpose;
- c. make deposits to and withdrawals from your Account to facilitate the actions in paragraph (b) above;
- d. provide instructions to third parties, close accounts, update contact details, change your registration address for correspondence, receive notices;
- e. do all things necessary or expedient to give effect to the actions referred to in paragraphs (a) – (d) above.

The Client agrees to ratify the acts of the Attorney and acknowledges that anything done by an Attorney under this LPOA will be binding on the Client as if those acts had been done by the Client. The Client agrees to indemnify an Attorney against any liability arising from the proper use of this LPOA. This LPOA will continue until the Portfolio Service is terminated.

Applicant 1 / Director 1 / Trustee 1	Applicant 2 / Director 2 / Secretary / Trustee 2
Name	Name
Signature	Signature
Company Name (if applicable)	Date Signed (dd/mm/yyyy)
☐ Tick if Sole Director	
Date Signed (dd/mm/yyyy)	
Applicant 3 / Trustee 3	Applicant 4 / Trustee 4
Name	Name
Signature	Signature
Date Signed (dd/mm/yyyy)	Date Signed (dd/mm/yyyy)

Please note:

- 1) For a company, two Directors or a Director and a Secretary must sign. Please indicate if the company is a sole Director company;
- 2) Sign in blue or black ink only.

BELL POTTER

All fees are inclusive of GST. A minimum fee rate applies per quarter as specified.

Standard Rate		Brokerage Free Rate	
For the first \$1 million	0.85%	For the first \$1 million	1.25%
For the next \$2 million	0.55%	For the next \$2 million	0.80%
For the next \$4 million	0.44%	For the next \$4 million	0.55%
Minimum per quarter	\$1,000	Minimum per quarter	\$1,500

OR

Custom Fee Rate		Custom Brokerage Free Rate	
Minimum per quarter		Minimum per quarter	

Is this a family grouped account? ☐ Yes ☐ No

If yes, please list account numbers to be linked

Special Fee Instructions

PRIVATE WEALTH SERVICE APPLICATION FORM



SECTION 10: DECLARATION

- By signing below you:
- a. grant Bell Potter and Praemium the LPOA;
 - b. agree to pay the fees set out above;
 - c. acknowledge that you have read and understood the Bell Potter Private Wealth Service Client Guide; and
 - d. agree to be bound by the Part 6 – Portfolio Service Terms and Conditions.

Applicant 1 / Director 1 / Trustee 1	Applicant 2 / Director 2 / Secretary / Trustee 2
Name	Name
Signature	Signature
Company Name (if applicable)	Date Signed (dd/mm/yyyy)
☐ Tick if Sole Director	
Date Signed (dd/mm/yyyy)	

Applicant 3 / Trustee 3	Applicant 4 / Trustee 4
Name	Name
Signature	Signature
Date Signed (dd/mm/yyyy)	Date Signed (dd/mm/yyyy)

- Please note:**
- 1) For a company, two Directors or a Director and a Secretary must sign. Please indicate if the company is a sole Director company;
 - 2) Sign in blue or black ink only.

OFFICE USE ONLY: ADVISER TO COMPLETE

Signature	Date Received (dd/mm/yyyy)
Adviser Name and Code	Brokerage (inc. GST) and Minimum Brokerage (inc. GST)