BELL POTTER

PRIVATE WEALTH SERVICE
SAMPLE APPLICATION

TRAINING PACK · SAMPLE 1 OF 5 · INDIVIDUAL

OWNERSHIP STRUCTURE · INDIVIDUAL

Mr David Andrew Thornton

A retail individual client consolidating a $850,000 portfolio already held through Bell Potter. Straightforward onboarding with no external transfers.

WHAT THIS SAMPLE DEMONSTRATES

- Full legal name as registered with CHESS — no initials (Section 8 & 10).
- Retail client → an approved OFA letter is required before submission.
- Compulsory dedicated cash account (here a new Bell Potter Cash Trust Account); one bank account per Praemium client.
- Standard Rate fee tier; the per-quarter minimum cannot be waived.
- Trade match type defaults to FIFO under the PWS product rules.

Worked example completed by Sarah Mitchell (SM042) · sample signing date 15/07/2026.

All names, account numbers, TFNs, ABNs and addresses are fictional and for training purposes only. Complete the live form in blue or black ink.

PRIVATE WEALTH SERVICE COVERSHEET

BELL POTTER

ACCOUNT INFORMATION

Account Number	Account Name
30 412 298	**Mr David Andrew Thornton**

Account Designation (if applicable)

- [x] PWS
- [ ] PWSBRO (Brokerage Free Rate)
- [ ] Discretionary Account (attach MDA Agreement)
- [ ] Non-resident for tax purposes
- [ ] Margin Lending

HIN
X0001234567

CASH TRADING ACCOUNT DETAILS

- [ ] Macquarie Cash Management Account
- [ ] Macquarie Accelerator Account
- [x] Bell Potter Cash Trust Account

Complete prior to Application Form submission

- [x] Confirm bank account(s) are linked on Fusion
- [x] Verify bank account is not linked to another Fusion account

DEBIT/CREDIT INSTRUCTIONS FOR FEES & INCOME

- [x] Cash Trading Account (as above)
- [ ] Margin Lending Account

TRADE MATCH TYPE

- [x] FIFO
- [ ] MIN GAIN
- [ ] MAX GAIN
- [ ] Manual

FEES

- [ ] Family Grouped for Billing

Linked Accounts

- [ ] Fee Exceptions
- [ ] Fee Approval Attached
- [x] OFA letter signed and approved by Financial Planning team

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

Special Fee Instructions

Comments
Standard Rate. Estimated annual Service Fee approx. $7,225 (0.85% x $850,000).

INVESTMENT & COST BASE HISTORY

- [ ] Cash Only
- [x] All securities acquired via Bell Potter

Estimated Portfolio Value
$850,000

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

New PWS account. All holdings acquired through Bell Potter; no external transfers required.

Completed by Adviser/DA	Date
Sarah Mitchell (SM042)	**15/07/2026**

TEAM LEADER TO COMPLETE

- [x] Application checked for completeness
- [x] LPOA signed
- [x] Ongoing Fees (OFA)
- [x] Fees checked and custom fee approval reviewed
- [x] Account added to New Account Register
- [ ] Fees Approved by Senior Leadership
- [x] Fee Allocation in Praemium

Signed off by	Date
Anthony Rossi	**15/07/2026**

TRAINER NOTES

- **Same details, three times.** The account number and name on this Coversheet must match the Application Form (Section 1) and the LPOA (Section 8) exactly.
- **Trade Match Type** is set to **FIFO** in line with the PWS product rules.
- **Retail client:** the OFA letter must be signed and approved by Financial Planning *before* submission (ASIC requires the trading account number on the letter, so the account is set up first).
- Cash account: **Bell Potter Cash Trust Account**. Confirmed linked on FUSION and not shared with another FUSION account — Praemium requires one dedicated bank account per client.

APPENDIX A — ACCOUNT ESTABLISHMENT & RECONSTRUCTION: COST BASE INFORMATION

PWS provides full financial-year CGT reporting. The documentation below assists the reconstruction of a client's portfolio and can be sourced from a previous administrator, broker, accountant, share registry or client records.

TRANSFER TYPE	REQUIRED DOCUMENTATION
Account previously on a portfolio administration platform / accountant	Portfolio Valuation (30 June & date prior to transfer); Transaction History (from 30 June to date); Realised & Unrealised CGT (from 1 July to date).
Listed Holdings — HIN from another Broker / Margin Lender	Portfolio Valuation; Transaction History; Cost History of purchases and sales incl. corporate actions; consideration and date of purchase.
Off Market Transfers — No change of Beneficial Owner	Portfolio Valuation; Transaction History; Cost History incl. corporate actions.
Off Market Transfer — Change of Beneficial Owner	Consideration and date of purchase; supporting Cost History.
Issuer Sponsored Holdings	Holding Statement (registration details & SRN); Transaction Statement; Cost History incl. corporate actions.
Beneficiary of a Deceased Estate	Original Cost History of the Estate; Date of Death of the individual; holding & transaction statements.
Individual to Joint Account	Individual's original Cost History (carried forward).
From a Wrap Service	Assets reported from transfer-in date; refer to the individual asset requirements above.
Managed Funds	Current Statement clearly showing the Investor Number.
Non-standard Assets	Holding Statement (registration details & Investor Number); Transaction Statement; Cost History.
Super Funds	Unrealised CGT report as at 30 June and subsequent transactions from 1 July.

TRAINER NOTES — COST BASE FOR THIS SAMPLE

- No external assets are transferring for this sample, so no cost-base reconstruction documents are required. If holdings were later transferred in, the relevant rows above would apply.
- Cost base must be the **original acquisition date and price** per parcel — an average or total cost cannot reconstruct a portfolio.

BELL POTTER

PRIVATE WEALTH SERVICE
APPLICATION FORM

Application Form DV260625
June 2026

SAMPLE — INDIVIDUAL

- Mr David Andrew Thornton

PRIVATE WEALTH SERVICE APPLICATION FORM

BELL POTTER

SECTION 1 · ACCOUNT DETAILS

Account Number	Account Name
30 412 298	**Mr David Andrew Thornton**

Account Designation (if applicable)

Applicant 1 — Title, Given Name(s) and Surname
Mr David Andrew Thornton

Applicant 2 / Director 2 / Secretary / Trustee 2

Applicant 3 / Trustee 3

Applicant 4 / Trustee 4

SECTION 2 · POSTAL ADDRESS

Postal Address
14 Kirribilli Avenue, Kirribilli

State	Postcode	Country
NSW	**2061**	**Australia**

SECTION 3 · OWNERSHIP STRUCTURE

- [x] Individual
- [ ] Joint
- [ ] Trust
- [ ] Company
- [ ] Superannuation Fund
- [ ] Other

SECTION 4 · TAX FILE NUMBER / ABN

Applicant 1	Applicant 2	Applicant 3	Applicant 4
123 456 782			

SECTION 5 · COUNTRY OF TAX RESIDENCE

- [x] Yes — resident for Australian tax purposes
- [ ] No

TRAINER NOTES

- **Section 1 & 8 & 10** all use the client's full CHESS-registered name — never initials.
- **Section 2:** enter the actual *postal* address, not the registered address.
- **Section 4:** keep the TFN consistent with the third-party platform set-up and the FUSION Tax Information tab.

SECTION 6 · MARGIN LENDING ACCOUNT

☐ Yes ☑ No

Not a margin lending account — proceed to Section 7.

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

Cash Trading Account

☑ Yes — establish a Cash Trading Account for the Private Wealth Service

☐ No — approved cash account already held (details below)

Estimated Portfolio Value

$850,000

Assets to be provided to the account via:

☑ Cash Deposit ☑ Securities acquired via Bell Potter ☐ Securities not purchased through Bell Potter, transferred in from multiple sources

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

TRAINER NOTES

- **External margin lending clients are not accepted.** A margin lending account (if any) is set up first, with the account number sourced from Bell Potter Capital (BPC).
- **Cash trading account:** this is the bank account nominated for debit/credit authority. It cannot be shared with other FUSION accounts and **cannot be a joint account** — Praemium requires one dedicated bank account per client.

BELL POTTER

SECTION 8 · LIMITED POWER OF ATTORNEY (LPOA)

Account Number	Account Name
30 412 298	Mr David Andrew Thornton

Account Designation (if applicable)

The Client grants a limited power of attorney to Bell Potter Securities Limited (ABN 25 006 390 772) and Praemium Limited (ABN 74 098 405 826), and any authorised officer, to undertake all actions necessary to provide the Portfolio Service — including dealing in securities, IDPS, managed funds, ETOs/ETFs, cash and fixed interest, operating the account, and giving instructions to third parties. The LPOA continues until the Portfolio Service is terminated.

Applicant 1 — Name	Applicant 2 / Director 2 / Secretary / Trustee 2 — Name
Mr David Andrew Thornton	
Signature: *D. Thornton*	Signature:
Date Signed (dd/mm/yyyy): 15/07/2026	Date Signed (dd/mm/yyyy):

Applicant 3 / Trustee 3 — Name	Applicant 4 / Trustee 4 — 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 — indicate if a sole Director company; (2) sign in blue or black ink only.

TRAINER NOTES

- **Full CHESS-registered names only.** Correct: "Cheryl Anne Nott". Incorrect: "Ms C A Nott". The registered name is shown in the Equities tab under Registration Address.
- The LPOA must be **originally signed** (wet ink, blue or black), and the names must match Section 1 and the Section 10 Declaration.

PRIVATE WEALTH SERVICE APPLICATION FORM

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SECTION 9 · PORTFOLIO SERVICE FEE STRUCTURE

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

☑ **Standard Rate**

For the first $1 million	**0.85%**
For the next $2 million	**0.55%**
For the next $4 million	**0.44%**
Minimum per quarter	**$1,000**

☐ **Brokerage Free Rate**

For the first $1 million	**1.25%**
For the next $2 million	**0.80%**
For the next $4 million	**0.55%**
Minimum per quarter	**$1,500**

OR

☐ **Custom Fee Rate**

☐ **Custom Brokerage Free Rate**

Is this a family grouped account? ☐ Yes ☑ No

If yes, list account numbers to be linked

Special Fee Instructions

TRAINER NOTES

- **Custom fee approval is mandatory.** The application is rejected without it — PWS Adviser Services will not source approval for you. All custom fees, fee exceptions and family groupings are signed off by **Dean Surkitt (cc Nick Hamilton)**.
- Every account carries a standard **minimum fee per quarter**; it cannot be waived (the only exception is a grandfathered family grouping, which needs approval).
- **Standard Rate** chosen: 0.85% / 0.55% / 0.44% across the tiers, minimum $1,000 per quarter.
- No mark-ups are accepted unless the client has signed or initialled the change.

PRIVATE WEALTH SERVICE APPLICATION FORM

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SECTION 10 · DECLARATION

By signing below you:

- acknowledge that you have read and understood the Bell Potter Private Wealth Service Client Guide;
- agree to pay the fees set out above;
- grant Bell Potter and Praemium the LPOA; and
- agree to be bound by the Part 6 — Portfolio Service Terms and Conditions.

Applicant 1 — Name	**Mr David Andrew Thornton**
Signature	*D. Thornton*
Date Signed (dd/mm/yyyy)	**15/07/2026**
Applicant 2 / Director 2 / Secretary / Trustee 2 — Name	
Signature	
Date Signed (dd/mm/yyyy)	
Applicant 3 / Trustee 3 — Name	
Signature	
Date Signed (dd/mm/yyyy)	
Applicant 4 / Trustee 4 — Name	
Signature	
Date Signed (dd/mm/yyyy)	

Please note: (1) for a company, two Directors or a Director and a Secretary must sign; (2) sign in blue or black ink only.

OFFICE USE ONLY — ADVISER TO COMPLETE

Signature	*S. Mitchell*
Date Received (dd/mm/yyyy)	**15/07/2026**
Adviser Name and Code	**Sarah Mitchell (SM042)**
Brokerage (inc. GST) and Minimum Brokerage (inc. GST)	**Per Financial Services Guide**

TRAINER NOTES

- The signing requirements and applicant names **must match Section 8** exactly.
- The **"Office Use Only"** block must be completed and signed by the adviser — it cannot be left blank.
- Record brokerage (inc. GST) and minimum brokerage per the Financial Services Guide.