


# New Adviser Form

CommSec Adviser Services (CAS) is a brand of Commonwealth Bank of Australia (CBA or the Bank) ABN 48 123 123 124 AFSL and Australian credit licence 234945. Share trading is a service provided by Australian Investment Exchange Ltd (AUSIEX or Participant) ABN 71 076 515 930 AFSL 241400, a participant of the ASX Group and Chi-X Australia. Portfolio Service is offered by AUSIEX (under the CAS brand) and Colonial First State Custom Solutions (CFSCS), which is the registered business name of Avanteos Investments Limited (AIL) ABN 20 096 259 979 AFSL 245531. AUSIEX and AIL are wholly owned but non-guaranteed subsidiaries of CBA. The Accelerator Cash Account is a deposit product issued by CBA and administered by AUSIEX under the CAS brand. The Managed Investments Account is an investor directed portfolio service operated by CFSCS. Lending products under the CAS brand are provided by CBA. Investment loans are administered by its wholly owned but non-guaranteed subsidiary Commonwealth Securities Limited (CommSec) ABN 60 067 254 399 AFSL 238814, a participant of the ASX Group and Chi-X Australia.

 This form is to be used when you join us for the first time. You can request additional services in the future by contacting us.  
**Where to send the completed form?**  
Once completed and signed, please scan and return the form to the email address provided above.

## Section 1 – Service Selection

What service/s are you applying for?

- |  |   |
|--|---|
| <input type="checkbox"/> Share Trading<br><small>(not linked to Portfolio Service)</small> | <input type="checkbox"/> Accelerator Cash Account<br><small>(not linked to Portfolio Service)</small> |
| <input type="checkbox"/> Portfolio Service   | <input type="checkbox"/> Exchange Traded Options (ETOs)   |
| <input type="checkbox"/> CALIA+  | <input type="checkbox"/> Investment Lending   |

**Please note:** If Portfolio Service is selected, this will include the mandatory linked Trading Account, Accelerator Cash Account and Managed Investments Account.

## Section 2 – Adviser Details

### A) Dealer Group Details (please select one only)

- AFSL holder  
AFSL Number
- Licensee Name
- Non-AFSL holder  
Full Company Name (as registered by ASIC)

Australian Company Number (ACN)

### B) Business Development Manager Details (optional)

Business Development Manager Name

### C) Adviser Details

- Mr  Ms  Mrs  Miss  Dr Other
- Given Name/s
- Surname
- Other name/s commonly known by (if applicable)
- Date of Birth
- Authorised Representative Number
- Adviser's Company Name

## D) Adviser Contact Details

It is compulsory to provide all contact details in this section.

Residential Address of the Adviser (cannot be a PO Box)

State                      Postcode

Country (if not Australia)

Registered Address of the Business (cannot be a PO Box)

State                      Postcode

Country (if not Australia)

Postal Address of the Business  Same as Registered Address

State                      Postcode

Country (if not Australia)

Business Phone (mandatory)

(  )

Business Fax

(  )

Mobile Number (mandatory)

Email (mandatory – confirmations will be sent to this email address)

Secondary Email (optional)

Preferred Contact Method

- Business Phone  Mobile  Email

### Section 3 – Sole Trader Information

Complete this section if you are a Sole Trader.

Full Business Name (if any)

Australian Business Number (ABN)

Principal Place of Business (cannot be a PO Box)

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

### Section 4 – Login Details for Online Access

**Note:** You **must** provide a Temporary Login Password for online access. A username will be emailed to you accompanying your registration confirmation.

Temporary Login Password (8 alphanumeric characters)

(Please make a note of the Temporary Password you have nominated. You will be prompted to change your Temporary Password when first logging into the website).

### Section 5 - Subscription Packages

Share Trading and Portfolio Service applicants only. All other applicants proceed to Section 6.

Please select one of the following subscription packages:  
(Visit [CommSecAdviserServices.com.au](http://CommSecAdviserServices.com.au) and select Products > Trading > Subscription Packages for more detail on the different subscription package options)

Subscription Package	Price (inc-GST)
<input type="checkbox"/> Standard	
<input type="checkbox"/> Research Plus	\$55/month
<input type="checkbox"/> MarketPro Upon subscribing to MarketPro, you can choose to upgrade your service with one of our MarketPro add-ons:	\$55/month
<input type="checkbox"/> Extras	\$39/month
<input type="checkbox"/> Domestic	\$99/month
<input type="checkbox"/> International	\$159/month
<input type="checkbox"/> Combined Package The Combined Package includes Research Plus features, coupled with MarketPro. You can choose to upgrade your service with one of our MarketPro add-ons:	\$99/month
<input type="checkbox"/> Extras	\$39/month
<input type="checkbox"/> Domestic	\$99/month
<input type="checkbox"/> International	\$159/month
<input type="checkbox"/> IRESSPro <sup>1</sup>	\$879/month

<sup>1</sup> The IRESSPro monthly price is the base package price which includes IRESS Service Fee, ASX Market Point, IRESS News, Reference Data and S&P/ASX Index Data Access Fee. For any additional access features, an IRESS price list of additional modules and exchange royalties will be provided upon request via your BDM.

### Section 6 – Australian Credit Licence (ACL)

CALIA+ applicants only. All other applicants proceed to section 7.

Licensing Status (Tick One):

- ACL Licensee  
 Credit Representative  
 Director/Employee

ACL Licensee Name

ACL Number

Credit Rep Number

### Section 7 – Acknowledgements

I understand and acknowledge that the law requires applicants to provide true and correct information and state all the names by which they are commonly known. I also understand that the law prohibits the use of false names, as well as the giving, use or production of false or misleading information on documents in connection with an identification procedure.

I declare that the information I have provided in this form is true and correct.

I understand that the additional services have monthly fees as indicated in the Pricing Schedule (subject to variation). I authorise the Participant to deduct any fees charged to me in the end of month payment process.

I declare:

- I have appropriate qualifications, training and experience;
- I am an authorised representative of the Dealer Group;
- I have the relevant authorisations from the Dealer Group for the services applied for under this form;
- a copy of the Dealer Group Agreement and/or Dealer Terms of Trade has been provided to me; and
- I have read and agree to the terms in the Dealer Group Agreement and/or Dealer Terms of Trade which relate to the provision of the nominated services.

I acknowledge that I am responsible to promptly inform the Bank if there is any change to my status as an authorised representative of an AFS licensee, or as a Credit licensee or as a Director/ Employee or as a credit representative of a credit licensee as applicable.

I consent to the collection, use and exchange of my personal information as set out in the Customer Information and Privacy sections of the terms and conditions for the relevant products and services.

I have read and agree to accept and abide by the Participant's Terms and Conditions and Terms of Access, the Bank's Terms and Conditions and Portfolio Service Terms of Online Access for the relevant product or service, prior to receiving any financial service. These, along with other legal documents are available on CommSec Adviser Services' website and I agree to access these documents from the website.

**Adviser Signature**

Full Name

DD / MM / YYYY



### Where to from here?

I have attached copies of the following documents:

#### All applicants

Certified copy of Drivers Licence or Passport

#### AFSL holders only

Authorised Representative Certificate or Employee Representative Certificate

#### CALIA+ applicants only

Credit Representative Certificate

If employee, letter from Dealer Group confirming status

#### Advisers planning to trade options on behalf of clients

Level 2 ADA Certificate - to provide advice on warrants and all exchange-traded options strategies (including naked strategies)



### Data Feed

For a list of all available data providers, please visit [CommSecAdviserServices.com.au](http://CommSecAdviserServices.com.au) and select Products > Trading > Resources > Data Feed Matrix.

To set up data feed access, please email us with your instructions or call us for further information.