




# New Adviser Form

Share Trading and Portfolio Administration and Reporting are services 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. AUSIEX is a wholly owned but non-guaranteed subsidiary of the Commonwealth Bank of Australia ("CBA" or "Bank") ABN 48 123 123 124 AFSL and Australian credit Licence 234945

 Use this form for the purposes of initially onboarding with us. You are able to extend this request in 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      | <input type="checkbox"/> Accelerator Cash Account       |
| <input type="checkbox"/> Portfolio Services | <input type="checkbox"/> Exchange Traded Options (ETOs) |
| <input type="checkbox"/> CALIA+             | <input type="checkbox"/> Investment Lending             |

## Section 2 – Adviser Details

### A) Company Details

AFSL holder (complete the following two questions)

AFSL Number

Licensee Name

Non-AFSL holder

Full Company Name (as registered by ASIC)

Australian Company Number (ACN)

### B) Adviser Details

Mr  Ms  Mrs  Miss  Dr Other

Given Name/s

Surname

Other name/s commonly known by (if applicable)

Date of Birth

DD / MM / YYYY

### C) 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

Business Fax

Mobile Number (mandatory)

Email (mandatory – confirmations will be sent via 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)

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 (6 to 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 – Adviser Service Level

Trading applicants only. All other applicants proceed to section 6.

Please select one of the following service levels:

*(Visit [CommSecAdviserServices.com.au](http://CommSecAdviserServices.com.au) and select Products & Services > Trading > Subscription Packages for more detail on the different subscription package options)*

**IRESSPro (Charges apply)**

**Combined Package (charges apply)**

The Combined Package includes Research Plus features, coupled with MarketPro.

You can choose to upgrade your service with **one** of our MarketPro add-ons:

International

Domestic

Extras

**MarketPro (charges apply)**

MarketPro Add-Ons:

Upon subscribing to MarketPro, you can choose to upgrade your service with **one** of our MarketPro add-ons:

International

Domestic

Extras

**Research Plus (charges apply)**

**Standard**

### Section 6 – Australian Credit License (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/We 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 of documents in connection with an identification procedure.

I/We understand that the additional services have monthly fees as indicated in the Pricing Schedule (subject to variation and available on request by calling the number at the top of this form). I authorise the Participant to deduct any fees charged to me in the end of month payment process.

I/We acknowledge that I am responsible to promptly inform the Bank if there is any change to my status as an AFS Licensee or 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/We 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 this account.

I/We have read and agree to accept and abide by the Participant's Terms and Conditions and Terms of Access and the Bank's Terms and Conditions for the relevant service prior to receiving any financial service, or other service, from us. These, along with other legal documents are available on our website and I/We agree to access these documents from our 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 1 ADA Certificate - to provide advice on warrants and exchange-traded options strategies that are not likely to expose the client to potential margin calls (covered strategies)

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