


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. The Accelerator Cash Account is a deposit product issued by CBA and administered by AUSIEX under the CAS brand. 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?

- Share Trading Cash Product Services
 Investment Lending Exchange Traded Options (ETOs)
 CALIA+ Warrants Trading

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)

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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 applicants only. All other applicants proceed to Section 6.

Please select one of the following subscription packages:
(Visit 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	\$55/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 ¹	\$879/month

¹ 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 and the Bank's Terms and Conditions 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



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 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.