



Change of Dealer Group 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.

Form ID: 7137

Where to send this form?

Use this Form ID to securely submit your completed and signed form with any relevant supporting documents through eSubmit.

To use eSubmit, log in to the CommSec Adviser Services website and go to: **Administration > eSubmit**



To be completed by existing advisers only, when moving to a new Dealer Group.

Section 1 – Adviser Details

A) New Dealer Group Details

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

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 via email)

Preferred Contact Method
 Business Phone Mobile Email

Section 2 – 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)



Please note: No changes will be made to any existing Periodic Payment established on Accelerator Cash Accounts. Please complete the 'Periodic Payment Authority Form' available from the website, if changes are required.

For Portfolio Service, if your previous Dealer Group had elected to pay the Administration Fee for your clients, please note this arrangement will cease once this form is processed. Please discuss the fee arrangement for your clients with your new Dealer Group.



Where to from here?

I have attached copies of the following documents:

AFSL holder

- Authorised Representative Certificate **or** Employee Representative Certificate; **and**
- Release Letter or Signed Client Letters

Non-AFSL holder

- Release Letter or Signed Client Letters

Where to send the completed form?

Send the completed form accompanied by all required documents through eSubmit.

Section 3 – 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 declare:

- I have appropriate qualifications, training and experience;
- I am an authorised representative of the Dealer Group; and
- a copy of the Dealer Group Agreement and/or Dealer Terms of Trade has been provided to me.

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