GUIDE TO TRANSITION SERVICES

CommSec
Adviser Services

WHY COMMSEC ADVISER SERVICES?

CommSec Adviser Services provides investment products and services to financial advisers, brokers, accountants and financial institutions. Our clients range from small advisory firms through to some of Australia's largest financial institutions, and we currently provide investment solutions to over 800 Dealer Groups and 10,000 advisers in every state and territory of the country.

Since we began in 1994, we've built successful relationships with our clients and amassed a wealth of experience, insights and knowledge in the process.

We have grown to intimately understand the everyday challenges faced by our clients in effectively running their businesses. This allows us to provide them with powerful products and services, as well as relevant support.

The investment solutions we provide are backed by the security and experience of the Commonwealth Bank. Supported by our dedicated CommSec Adviser Services team, clients can take full advantage of these solutions and enjoy the simplicity and freedom of access to Australia's largest banking network.

- **Our Cash Management Service** incorporates Commonwealth Bank's Accelerator Cash Account (ACA) and Term Deposit products and acts as a convenient, fully featured cash hub with no account keeping fees for you and your clients.
- **Share trading** with CommSec Adviser Services gives you the experience and innovation of the CommSec online trading platform, enhanced with additional features for advisers investing on behalf of their clients.
- **Our Investment Loan** combines class-leading features with flexibility and value for money that enables your clients to multiply their investment power, and potentially accelerate their investment returns.
- **A complete portfolio solution** provides you and your clients with streamlined administration, simplified tax reporting and corporate actions management.

TRANSITIONING TO COMMSEC ADVISER SERVICES

We understand that your time is valuable and that transitioning your business can often seem daunting. That's why we provide you with the administrative support of our Business Transition Team, who will assist you and minimise any disruption to the day-to-day running of your office.

Using the information you provide, a dedicated Transition Coordinator will manage the whole process from start to finish. This includes – where appropriate – pre-populating certain sections of the application forms,* providing template letters, Statement of Advice guidance wording, coordinating mailout and client communications.

We will do everything we can to make the process as smooth and streamlined as possible. This means you will work directly with real people who will be on hand every step of the way to guide you through the process. Every transition is different, so we work together with you to develop a transition plan that best suits your needs.

For more information

Please contact your Business Development Manager.
For contact details, visit **www.CommSecAdviserServices.com.au** and click on 'Contact Us'.

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*Depending on the product, there are certain sections we cannot complete on behalf of clients.

TRANSITION YOUR BUSINESS IN FIVE EASY STEPS

01 CONSULT

Your Transition Coordinator will work with you to develop an efficient transition plan to suit your specific business requirements.

02 COLLECT

Your Transition Coordinator will then collect and collate your data.

03 BUILD

In line with your transition plan, your Transition Coordinator will build your clients' transition kits, including pre-populated applications and additional forms*.

04 OPEN

Transition documents will be returned and accounts will be opened. Your Transition Coordinator will keep you updated with regular reports along the way.

05 FINALISE

We'll finalise the transition, and our Training & Engagement Team can arrange training and support for you and your staff to ensure your client operations run smoothly.

*Depending on the product, there are certain sections we cannot complete on behalf of clients.

Your transition plan may also include some of the following:

- Transition by mailout or by individual appointment.
- Transition kits mailed/emailed to you.
- Transition kits mailed/emailed direct to your clients.
- Inclusion of reply-paid envelopes in all kits.
- Pre-populated application forms clearly marked with sign-here stickers.
- Any missing information clearly highlighted.
- Provision of any additional forms as determined by your transition plan.
- Provision of Statement of Advice guidance wording.
- Provision of covering letters – using your templates or ours.
- Comprehensive instructions on completing all forms.
- Provision of templates to assist with switching direct debits and credits.
- Oversight of HIN transfers.
- Dividend Direction service.
- Options to change settlement details.
- Provision of Corporate Authority to Operate forms (e.g. for third-party SMSF administrators).
- Options to transfer funds/stock/loan balance.

JOIN COMMSEC ADVISER SERVICES TODAY

To start the transition process, simply get in touch with your Business Development Manager.

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