

i To be completed by existing advisers only, when moving to a new Dealer Group.
 This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically.
 Refer to the end of this document for submission instructions.

1. Adviser Details

Dealer Group Details – *Please select one only*

<input type="radio"/>	AFSL holder		
	AFSL number	Licensee name	
<input type="radio"/>	OR Non-AFSL holder		
	Full company name – <i>As registered by ASIC</i>	Australian Company Number – ACN	

Business Development Manager Details – *Optional*

Business Development Manager name

Adviser Details

Mr
 Ms
 Mrs
 Miss
 Dr
 Other

First name	Middle name/s	Surname	Date of birth – DD / MM / YYYY
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Other name/s commonly known by – <i>If applicable</i>		Authorised representative number	
<input type="text"/>		<input type="text"/>	

Adviser Contact Details

Email address

Mobile number
 Home number – *Optional*
 Work number – *Optional*

<input type="text"/>	<input type="text"/>	<input type="text"/>
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Residential Address of the Adviser

Street address – *Cannot be a PO Box*

Suburb
 State
 Postcode
 Country

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Registered Address of the Business

Street address

Suburb
 State
 Postcode

<input type="text"/>	<input type="text"/>	<input type="text"/>
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Country

Postal Address of the Business

Same as registered address

Street address

Suburb
 State
 Postcode

<input type="text"/>	<input type="text"/>	<input type="text"/>
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Country

2. Sole Trader Information

Complete this section if you are a sole trader

Full business name – *If any*

ABN – Australian Business Number – *Optional*

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Principle Place of Business

Street address

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Suburb

State

Postcode

Country

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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 AUSIEX 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 for the relevant product or service prior to receiving any financial service. These, along with other legal documents are available on the AUSIEX website and I agree to access these documents from the website.

Adviser Full Name

Date – DD / MM / YYYY

Signature – *Must be signed pen to paper*

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Where to from here?

I have attached copies of the following documents:

AFSL holder

<input type="checkbox"/> Authorised Representative Certificate or Employee Representative Certificate; and	<input type="checkbox"/> Release Letter or Signed Client Letters
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Non-AFSL holder

<input type="checkbox"/> Release Letter or Signed Client Letters
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Share Trading is a service provided by Australian Investment Exchange Limited (AUSIEX, the Participant, we, us, our) ABN 71 076 515 930 AFSL 241400, a Market Participant of the ASX Limited and Cboe Australia Pty Ltd, a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited.

How to submit your documents

Advisers Lodge this form and all supporting documents ausiex.com.au > Administration > eSubmit

📞 1800 252 351 ✉ service@ausiex.com.au 🌐 ausiex.com.au

