

# Russell Investments Wealth Series

Application Forms Booklet

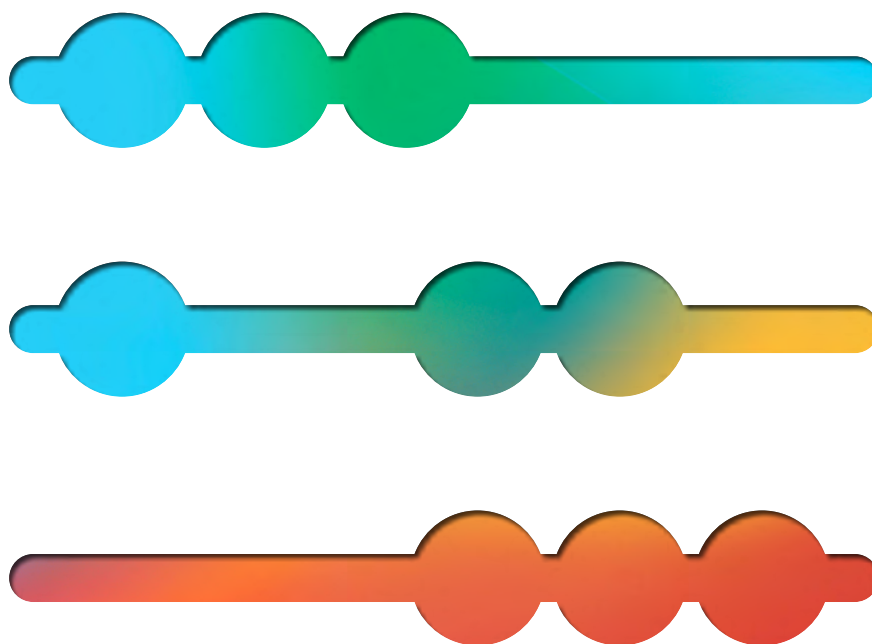
3 June 2024

**Issuer/operator details:**

Netwealth Investments Limited

ABN 85 090 569 109

AFSL 230975



This booklet contains application forms for Russell Investments Wealth Series. This is the Application Forms Booklet referred to in the Russell Investments Wealth Series IDPS Guide dated 4 December 2023 (the 'IDPS Guide').

## Netwealth contact details

### Postal address

Netwealth Investments Limited  
PO Box 336  
South Melbourne VIC 3205

Freecall 1800 888 223 (within Australia)

Phone 03 9655 1300


Fax 03 9655 1333

Email [contact@netwealth.com.au](mailto:contact@netwealth.com.au)

Our website [netwealth.com.au/russellinvestments](https://netwealth.com.au/russellinvestments)

## How to deposit

Method	Payment	Other requirements
Electronic funds transfer (EFT) If you know your account number.	Bank: ANZ BSB number: 013 993 Account no.: 999 followed by your Netwealth account number Reference: Your account name	Example: to make an EFT deposit for Paul Smith with Netwealth account number WRAPXXXXXX enter details as follows: BSB number: 013 993 Account no.: 999XXXXXX Reference: Paul Smith
Electronic funds transfer (EFT) or direct branch deposit For a new application where you do not have an account number.	Bank: ANZ BSB number: 013 030 Account no.: 838 160 198 Account name: Netwealth Wrap Applications Account Reference: Proposed account name	All deposit remittances except SuperStream must be sent to <a href="mailto:remittance@netwealth.com.au">remittance@netwealth.com.au</a> .
BPAY®	Biller Code: 21204	Each client has a unique BPAY® Customer Reference Number (CRN). This can be found on our website, on periodic statements or by contacting Netwealth.
Direct debit	One-off direct debits or a regular savings plan.	'Direct debit request' form – to request a one-off, regular or ad-hoc direct debit from your bank account; AND/OR (if required) 'Regular savings plan' form – to commence a regular savings plan.
Self Managed Super Fund accounts SuperStream Employers Only	Bank: ANZ BSB number: 013 993 Account no.: 999 followed by your Netwealth account number Reference: Same as SuperStream contribution message	Example: to make a SuperStream contribution for an SMSF account with Netwealth account number WRAPXXXXXX and ABN XX XXX XXX XXX send the SuperStream contribution message to: ESA: netwealthsmsf ABN: XXXXXXXXXXXX Member ID: WRAPXXXXXX For payment use: BSB number: 013 993 Account no.: 999XXXXXX Reference: Same as SuperStream contribution message

 All deposit remittances except SuperStream must be sent to [remittance@netwealth.com.au](mailto:remittance@netwealth.com.au).

Please complete the amount of the initial deposit and the method of payment in Step 9 of the 'Application' form.

It is important to follow these deposit instructions carefully, otherwise we may not be able to correctly allocate your deposits to your account.

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Who holds the account?

Account type/ designation	Who must apply for the account  (example account name)	Which part of Step 2 on the Application form to complete	Which TFN or ABN is required  (example)	Who signs	Which identification form to complete
Individual	Individual Paul Smith	Step 2a and Step 2b	TFN Paul Smith's TFN	Individual	'Individuals and sole traders'
Joint	Each individual investor Paul & Ann Smith	Step 2a and Step 2b	TFNs Paul Smith's TFN & Ann Smith's TFN	Both investors	'Individuals and sole traders'
Sole Trader using a business name	The individual who owns the business name Paul Smith	Step 2a, Step 2b and Step 2c	TFN Paul Smith's TFN	The individual who owns the business name	'Individuals and sole traders'
Company	The company Smith Co Pty Ltd	Step 2a, Step 2b and Step 2c	TFN or ABN and ACN for the company TFN or ABN and ACN for Smith Co Pty Ltd	Two directors; or sole director (noted as such); or director and company secretary of the company	'Australian companies' OR 'Foreign companies'
Self Managed Super Fund (SMSF) with individual trustee/s	The trustee/s of the SMSF Paul & Ann Smith ATF Smith Super Fund	Step 2a, Step 2b and Step 2c	TFN or ABN for SMSF TFN or ABN for Smith Super Fund	The trustee/s	'Australian regulated trusts (including Self Managed Super Funds)'
Self Managed Super Fund (SMSF) with a corporate trustee	The corporate trustee of the SMSF Smith Co Pty Ltd ATF Smith Super Fund	Step 2a, Step 2b and Step 2c	TFN or ABN and ACN for SMSF TFN or ABN and ACN for Smith Super Fund	Two directors; or sole director (noted as such); or director and company secretary of the trustee	'Australian regulated trusts (including Self Managed Super Funds)'
Trust with individual trustee/s	The trustee/s of the trust Paul & Ann Smith ATF Smith Family Trust	Step 2a, Step 2b and Step 2c	TFN or ABN for the trust TFN or ABN for Smith Family Trust	The trustee/s	'Unregulated Australian trusts and foreign trusts'
Trust with corporate trustee	The corporate trustee Smith Co Pty Ltd ATF Smith Family Trust	Step 2a, Step 2b and Step 2c	TFN or ABN and ACN for the trust TFN or ABN and ACN for Smith Family Trust	Two directors; or sole director (noted as such); or director and company secretary of the trustee	'Unregulated Australian trusts and foreign trusts'
Partnership	The principals of the partnership Paul Smith & Mike Jones – Smith & Associates	Step 2a, Step 2b (if applicable) and Step 2c	TFN or ABN for each partner OR TFN or ABN for partnership Paul Smith's TFN or ABN & Mike Jones' TFN or ABN OR TFN or ABN for Smith & Associates	The partners	'Partnerships and partners'

The identification forms include instructions about what (if any) other identification form/s you may need to complete. The table on page 5 summarises which additional form/s you may need to complete.

## Checklist and forms

### Who holds the account? (continued)

Account type/ designation	Who must apply for the account  (example account name)	Which part of Step 2 on the Application form to complete	Which TFN or ABN is required  (example)	Who signs	Which identification form to complete
Association	Office bearer/s of the association  The Paul Smith Association	Step 2a, Step 2b and Step 2c	TFN or ABN for association  TFN or ABN for The Paul Smith Association	The office bearer/s	'Associations'
Registered co- operative	Office bearer/s of the registered co- operative  The Paul Smith Registered Co-op	Step 2a, Step 2b and Step 2c	TFN or ABN for registered co- operative  TFN or ABN for The Paul Smith Registered Co-op	The office bearer/s	'Registered co- operative'
Government body	The Government Body Australian Taxation Office	Step 2a, Step 2b and Step 2c	TFN or ABN for Government Body  TFN or ABN for Australian Taxation Office	All authorised signatories	'Government body'
Deceased Estate	The executor/s of the estate (legal personal representative/s)  Paul Smith ATF Estate of Bob Smith	Step 2a, Step 2b and Step 2c	TFN or ABN of estate  TFN or ABN for Estate of Bob Smith	Executor/s (legal personal representative/s)	'Unregulated Australian trusts and foreign trusts'
Investing for a child under the age of 18	The trustee/s for the child (often the child's parent/s or guardian)  Paul Smith ATF Billy Smith	Step 2a, Step 2b and Step 2c	TFN  Paul Smith's TFN	The trustee/s for the child	'Individuals and sole traders'

The identification forms include instructions about what (if any) other identification form/s you may need to complete. The table below summarises which additional form/s you may need to complete.

For other types of account holders contact Netwealth for assistance with application requirements.

Identification form	Additional identification form/s that may be required
Australian companies	'Individuals and sole traders'
Foreign companies	'Individuals and sole traders'
Australian regulated trusts (including Self Managed Super Funds)	'Foreign companies'
Unregulated Australian trusts and foreign trusts	'Individuals and sole traders'; 'Australian companies'; 'Foreign companies'
Partnerships & partners	'Individuals and sole traders'
Associations	'Individuals and sole traders'
Registered co-operatives	'Individuals and sole traders'
Government body	'Individuals and sole traders'

## Checklist and forms

### Forms you need to complete

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#### All applicants

'Application' form	In all cases using the 'Application' form or completing an online application.
Relevant identification form/s	Refer to the tables on pages 4 and 5 for which identification form/s you need to complete. The identification forms are available online or from your adviser. You should also consider the 'Consent to electronically verify investor details against Government records' section in Step 2b and Step 2c of this Application Form.
<h4>Only if applicable</h4>	
'Upfront / Fixed term advice fee Instruction'	If you agree with your adviser to pay an upfront or fixed term advice fee, please complete and send to us the 'Upfront / Fixed term advice fee Instruction' form included in this booklet.
'Ongoing advice fee arrangement Consent'	If you agree with your adviser to pay an ongoing advice fee, please complete and send to us the 'Ongoing advice fee arrangement Consent' form included in this booklet.
'Direct debit request'	If you wish to make a one-off deposit from your bank account, commence a regular savings plan or allow us to debit your bank account for future deposits please complete and send us the 'Direct debit request' form included in this booklet.
'Foreign tax residency information'	If you are a tax resident of more than one country other than Australia please provide your TIN or your reason for not providing a TIN.

### Please send all correspondence to:

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Send to us:

 [contact@netwealth.com.au](mailto:contact@netwealth.com.au)

 Netwealth Investments Limited, Reply Paid 336, South Melbourne VIC 3205

# Russell Investments Wealth Series Application



NWNEWBRWAP

Please use **BLACK** pen and **BLOCK** letters.

This form may only be used if you have received a copy of the Russell Investments Wealth Series IDPS Guide dated 4 December 2023 (**the IDPS Guide**) and the Wrap Service Guide and Investment Menu referred to in the IDPS Guide that are relevant to you. These documents are collectively referred to as the **'Disclosure Documents'**. The Disclosure Documents contain important information regarding investing in Russell Investments Wealth Series which you should read.

Russell Investments Wealth Series is designed for those consumers who:

- are looking to invest their wealth outside of the superannuation environment (or prefer to run their own self-managed superannuation fund);
- want to make an active investment choice;
- have an affinity to the investment approach and investment options provided by Russell Investment Management Ltd;
- want flexibility, control and to be able to manage their portfolio in one place, either by themselves or through a financial adviser; and
- expect to have more than \$10,000 to invest.

In this form references to 'I', 'me', 'my' and 'you' apply to each applicant, and where applicable, to each signatory.

## Step 1. Confirm if you are an existing Netwealth client

Client name/account name	<input type="text"/>	
Client number	<input type="text"/>	Account number <input type="text"/>
Are you a Netwealth Self Super client?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

## Step 2a. Confirm your investor type

<input type="checkbox"/> Individual investor	<input type="checkbox"/> Joint investor	<input type="checkbox"/> Sole trader	<input type="checkbox"/> Company
<input type="checkbox"/> Trust	<input type="checkbox"/> Self Managed Super Fund	<input type="checkbox"/> Partnership	<input type="checkbox"/> Association
<input type="checkbox"/> Registered Co-operative	<input type="checkbox"/> Government body	<input type="checkbox"/> Deceased Estate	<input type="checkbox"/> Other

**!** You will also need to complete the relevant identification form/s for your investor type as described on pages 4 and 5 of this Application Forms Booklet. The identification forms are available online or from your adviser.

## Step 2b. Provide investor details

### Investor 1 (individual account holder, first joint investor, sole trader, director, individual trustee, partner one)

Mr/Mrs/Miss/Ms/Dr/Other	<input type="text"/>	Family name	<input type="text"/>
Given name(s)	<input type="text"/>		
Date of birth	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>	Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Residential address (mandatory) <sup>1</sup>	<input type="text"/>		
Suburb/town	<input type="text"/>		
State	<input type="text"/>	Postcode	<input type="text"/>
Citizenship	<input type="checkbox"/> Australia	<input type="checkbox"/> Other:	Country of citizenship <input type="text"/>

<sup>1</sup>If you reside in the European Union or the United Kingdom, we are unable to accept your application.

Step 2b. Provide investor details (continued)

Tax residency and details

I am a tax resident of Australia: Tax file number  -  -  OR  I do not wish to provide my TFN  
 OR Reason for exemption

AND/OR  I am a tax resident of another country<sup>2</sup>: Country   
 TIN  OR If no TIN, list reason A, B or C<sup>3</sup>

**⚠ WARNING!** Failure to quote an ABN, quote a TFN or claim an exemption may cause Netwealth to withhold tax at the top marginal tax rate plus Medicare levy, before passing on any distributions.

<sup>2</sup> If you are a tax resident of more than one other country please complete the enclosed 'Foreign tax residency information' form and return it with your application.

<sup>3</sup> Reason A: The country of tax residency does not issue TINs to tax residents.

Reason B: You have not been issued with a TIN.

Reason C: The country of tax residency does not require the TIN to be disclosed.

Are you a US citizen or resident of the US for tax purposes?  Yes  No

**⚠** If you are a US Specified Person you must provide a TIN (the account will not be opened without a TIN).

Consent to electronically verify investor details against Government records

By ticking the box below, you authorise us to use the details provided to verify the investor's identity against records held by various Government agencies/bodies, for example an agency or body that issue passports, drivers licences or other identification cards (the 'Issuer or Official Record Holder of government records').

I confirm that I:

- am authorised to provide the details and any supporting identification documents; and
- agree that these details may be checked against records held by the Issuer or Official Record Holder of government records.

You do not have to give your consent in this section. In any event (whether you give consent or otherwise), we may request further information to meet our Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) obligations and be unable to process your request until that information is received and accepted.

Investor 2 (second joint investor, second director, company secretary, individual trustee, partner two) (if applicable)

Mr/Mrs/Miss/Ms/Dr/Other  Family name

Given name(s)

Date of birth  /  /  Sex  Male  Female

Residential address (mandatory)<sup>4</sup>

Suburb/town

State  Postcode  Country (if not Australia)

Citizenship  Australia  Other: Country of citizenship

<sup>4</sup>If you reside in the European Union or the United Kingdom, we are unable to accept your application.



Step 2b. Provide investor details (continued)

Tax residency and details

I am a tax resident of Australia: Tax file number  -  -  OR  I do not wish to provide my TFN  
 OR Reason for exemption

AND/OR  I am a tax resident of another country<sup>5</sup>: Country   
 TIN  OR If no TIN, list reason A, B or C<sup>6</sup>

**⚠** WARNING! Failure to quote an ABN, quote a TFN or claim an exemption may cause Netwealth to withhold tax at the top marginal tax rate plus Medicare levy, before passing on any distributions.

<sup>5</sup> If you are a tax resident of more than one other country please complete the enclosed 'Foreign tax residency information' form and return it with your application.

<sup>6</sup> Reason A: The country of tax residency does not issue TINs to tax residents.

Reason B: You have not been issued with a TIN.

Reason C: The country of tax residency does not require the TIN to be disclosed.

Are you a US citizen or resident of the US for tax purposes?  Yes  No

**⚠** If you are a US Specified Person you must provide a TIN (the account will not be opened without a TIN).

Consent to electronically verify investor details against Government records

By ticking the box below, you authorise us to use the details provided to verify the investor's identity against records held by various Government agencies/bodies, for example an agency or body that issue passports, drivers licences or other identification cards (the 'Issuer or Official Record Holder of government records').

I confirm that I:  
 • am authorised to provide the details and any supporting identification documents; and  
 • agree that these details may be checked against records held by the Issuer or Official Record Holder of government records.

You do not have to give your consent in this section. In any event (whether you give consent or otherwise), we may request further information to meet our Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) obligations and be unable to process your request until that information is received and accepted.

Step 2c. Provide details of all other account holders (if applicable)

Name of company, SMSF, trust, partnership, association, registered co-operative or government body<sup>7</sup>   
 Tax file number  -  -  AND/OR ABN   
 OR Reason for exemption   
 Corporate trustee (if applicable)   
 Account designation   
 ACN (if applicable)   
 Tax file number  -  -  AND/OR ABN   
 (if applicable e.g. for corporate trustee of Superannuation Fund, Trust, Estate)  
 OR Reason for exemption

<sup>7</sup> If the account holder entity was formed/is domiciled in the European Union or the United Kingdom, we are unable to accept your application.

**Step 3. Contact details for correspondence and transaction election<sup>8</sup>**

Contact address

Suburb/town

State  Postcode  Country (if not Australia)

Phone\* Home (  )  Work (  )

Mobile\*

Email

<sup>8</sup> These contact details cannot be the contact details of your adviser.

\* At least one contact number must be provided.

**Preferred online access and communication method**

Level of online access (please select one)  Transact  Browse only

Communication method (please select one)  Electronically<sup>9</sup>  Post<sup>10</sup>

**!** If no level of online access is selected then you elect to have browse only online access. If no communication method is selected and you have provided an email address and/or mobile phone number above then you elect to receive all communications electronically.<sup>9</sup>

You elect to receive your Annual Statement and to confirm transactions by accessing your online account, unless you choose the following:

I request that my Annual Statements and Confirmation Statements be sent to me by the communication method selected above.

<sup>9</sup> Receiving communications electronically means by a SMS sent to your mobile phone number, an email sent to your email address, an attachment to an email sent to your email address, or notification to you by email or SMS that the communication is available for you to access in your secure online account or on our website. Communications include all letters, statements, confirmations and other notices.

<sup>10</sup> If you select to receive communications by post, you must provide a mobile phone number in the section above.

**Step 4. Provide nominated bank account details**

Account holder/s name

BSB  -  Account number

**Step 5. Regular savings plan (optional)**

I wish to make regular monthly deposits to my cash account.

**!** You must also complete the enclosed 'Direct debit request' form to enable us to debit your nominated bank account. We will debit your bank account on the 15th of each month or the next business day if the 15th day is not a business day.

Monthly deposit amount (minimum of \$100 per month) \$  ,  .  0  0

To begin in  1  5 /  M  M /  Y  Y

Each monthly deposit includes a margin loan amount of \$  ,  .  0  0 <sup>11</sup>

Each monthly deposit includes another borrowed amount of \$  ,  .  0  0 <sup>11</sup>

<sup>11</sup> Percentage advice fees will not be applied to borrowed amounts.

**!** If no commencement date is specified, the plan will commence on the 15<sup>th</sup> day of the month first occurring after we process your application.






Step 9. Provide your investment instructions (continued)

Managed funds and managed models



Fund name / Managed model	<input type="text"/>																								
	<input type="text"/>																								
Code <sup>14</sup>	<input type="text"/>								Initial amount to invest (\$ or %) <sup>15</sup>	<input type="text"/>															
Distribution reinvestment <sup>16</sup>	<input type="checkbox"/>	Income reinvestment monthly <sup>17</sup>	<input type="text"/>			%	Auto sell down profile rank <sup>18</sup>	<input type="text"/>																	
Fund name / Managed model	<input type="text"/>																								
	<input type="text"/>																								
Code <sup>14</sup>	<input type="text"/>								Initial amount to invest (\$ or %) <sup>15</sup>	<input type="text"/>															
Distribution reinvestment <sup>16</sup>	<input type="checkbox"/>	Income reinvestment monthly <sup>17</sup>	<input type="text"/>			%	Auto sell down profile rank <sup>18</sup>	<input type="text"/>																	
Fund name / Managed model	<input type="text"/>																								
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Code <sup>14</sup>	<input type="text"/>								Initial amount to invest (\$ or %) <sup>15</sup>	<input type="text"/>															
Distribution reinvestment <sup>16</sup>	<input type="checkbox"/>	Income reinvestment monthly <sup>17</sup>	<input type="text"/>			%	Auto sell down profile rank <sup>18</sup>	<input type="text"/>																	
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Fund name / Managed model	<input type="text"/>																								
	<input type="text"/>																								
Code <sup>14</sup>	<input type="text"/>								Initial amount to invest (\$ or %) <sup>15</sup>	<input type="text"/>															
Distribution reinvestment <sup>16</sup>	<input type="checkbox"/>	Income reinvestment monthly <sup>17</sup>	<input type="text"/>			%	Auto sell down profile rank <sup>18</sup>	<input type="text"/>																	
								<b>Total amount (\$)</b>	<input type="text"/>																

 Please ensure the total does not exceed the amount of your initial deposit, allowing for the minimum cash requirement. If the total is greater than the amount available for investment there may be delays in processing your application.

<sup>14</sup> APIR Code for a managed fund or the Netwealth code for a managed model in the Investment Menu.  
<sup>15</sup> A minimum investment amount of \$100 applies to any managed fund. Each managed model has a minimum investment amount. Refer to the relevant PDS Part 2 – Managed Models Booklet for more information.  
<sup>16</sup> Distribution reinvestment is only available for managed funds. Distributions received from this managed fund will be reinvested into this managed fund.  
<sup>17</sup> Your selected % of net income received in your cash account from all sources as per your selection in Step 7 will be reinvested in this fund or model. Percentage amounts of income reinvestment for all managed funds and/or managed models must total 100% and Step 7 must be completed.  
<sup>18</sup> If a value has been entered in this box, then the auto sell down method will be set as 'Rank'. This will override any option selected under Step 8.

**Step 10. Provide your adviser with BPAY and/or Pay Anyone authority (optional)**

Pay Anyone allows you to make withdrawals from your cash account into any Australian bank account. BPAY allows you to pay bills from your cash account using a biller code and customer reference number. You may instruct us to give your Adviser Representative authority to make such payments on your behalf by completing this Step 10.

-  BPAY or Pay Anyone access is not available to accounts that require multiple signatures to transact i.e. more than one signatory to sign.
-  You must provide us with a valid mobile phone number in Step 3 so we can notify you of any Pay Anyone or BPAY transfers initiated by your adviser.

By ticking the box(es) below, you provide permission for your Adviser Representative to make payments from your account using the Pay Anyone and/or BPAY facilities on your behalf, as described in the Disclosure Documents (**Facility permission**):

- I authorise my Adviser Representative to make BPAY payments from my account on my behalf;
- and/or**
- I authorise my Adviser Representative to make Pay Anyone withdrawals from my account on my behalf.

Your authorisation remains in effect until you remove this permission by logging into your account or contacting us.

**Step 11. Nominate your Financial Adviser and advice fees**

**Financial Adviser nomination**

AFS Licensee name

Adviser code

Adviser name

**Automatic Adviser Representative nomination and agency agreement**

I nominate the Financial Adviser named above (**Nominated Financial Adviser**) as my Adviser Representative who will be empowered to act on my behalf on matters relating to my account (including receiving documents about the underlying investments that my account is invested in on my behalf, as my agent) unless I inform Netwealth in writing that I do not want my Nominated Financial Adviser to be my Adviser Representative (either by ticking the box below or by advising Netwealth in writing). My Nominated Financial Adviser, as my Adviser Representative, may authorise officers or employees of the Nominated Financial Adviser to give Netwealth instructions in relation to my account. If my Nominated Financial Adviser changes their AFS Licensee, the Nominated Financial Adviser is authorised to continue as my Adviser Representative so long as the new AFS Licensee is registered by Netwealth. I have noted the important warning regarding Adviser Representatives in the IDPS Guide. I confirm and agree to the release of Netwealth from liability in relation to actions by my Adviser Representative as described in the IDPS Guide.

Tick this box only if you do **NOT** wish for your Nominated Financial Adviser to have authority to act as your Adviser Representative. If you opt-out of the Adviser Representative nomination on your Wealth Series account this will also apply to any Adviser Representative nomination on any other account/s under the same username.

- I do **NOT** wish my Nominated Financial Adviser to be my Adviser Representative.

**Advice fees**

Indicate the types of any advice fees you agree with your Nominated Financial Adviser to apply to this account.

- Upfront advice fee, to apply to deposits and transfers to your account
- Fixed term advice fee, to apply for a fixed term of up to 12 months

To provide details of the above upfront and fixed term fees please complete an 'Upfront / Fixed term advice fee Instruction' form and include it with this application.

- Ongoing advice fee

To provide details of the above ongoing fee arrangements please complete an 'Ongoing advice fee arrangement Consent' form and include it with this application.

## Step 12. Read and sign this client declaration

(If you wish to use the direct debit facility you must also complete the 'Direct debit request' form in this Application Forms Booklet and agree to the direct debit request agreement terms.)

By submitting this application, I declare that:

### Russell Investments Wealth Series Disclosure Documents and contract terms

1. I have received, read, understood and agree to be bound by the terms and conditions set out in the Disclosure Documents for the Russell Investments Wealth Series version of the Netwealth Wrap Service;
2. I agree to enter into and be bound by a contract with Netwealth comprising of the terms set out in the Disclosure Documents and this 'Application' form (the '**Contract**'). I acknowledge that the terms of the Wrap Deed dated 12 October 2000 (as amended from time to time) apply to my investments in Wealth Series that are held in custody by Netwealth. Without limiting the above, I agree to each of the matters set out in 'Things you agree to when you apply – your contract with us to use Wealth Series' in the IDPS Guide;
3. I acknowledge that:
  - (a) Netwealth may amend the Contract from time to time as it reasonably considers necessary or desirable without prior notice to me, however if any amendment is materially adverse to me, Netwealth must give me sufficient notice (generally 30 days) to enable me to close my Wrap Service account and have the investments held in my account, or the net proceeds from them, transferred to me prior to the amendment taking effect. This power of amendment is in addition to Netwealth's powers of amendment under the Wrap Deed; and
  - (b) to the extent that I have a liability to Netwealth under the Contract, and that liability is not fully satisfied through any right that Netwealth has to indemnification out of my account, I agree to pay Netwealth the amount;
4. I have read, understood and agree to be bound by the terms and conditions governing the use of our website available from our website.

### Anti-Money Laundering and Counter-Terrorism Financing

5. I acknowledge that Netwealth is bound by laws about the prevention of money laundering and the financing of terrorism, including the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* ('**AML/CTF laws**') and I represent and agree with Netwealth that;
  - (a) I am not applying to invest in the Wrap Service under an assumed name;
  - (b) any money used by me to invest in the Wrap Service is not derived from or related to any criminal activities;
  - (c) any proceeds of my investments will not be used in relation to any criminal activities;
  - (d) if Netwealth asks, I will provide all additional information Netwealth reasonably requires for the purposes of AML/CTF laws (including the source of funds used to invest);
  - (e) Netwealth may obtain information about me from third parties if Netwealth believes this is necessary to comply with AML/CTF laws; and
  - (f) in order to comply with AML/CTF laws Netwealth may be required to take action, including:
    - delaying, blocking, freezing or refusing to process a transaction or provide a service to me; or
    - disclosing information that Netwealth holds about me to Netwealth's related bodies corporate or service providers, or relevant regulators of AML/CTF laws (whether in or outside of Australia).

### Acknowledgement and Declaration

6. I represent to Netwealth that all the details in the application are true and correct;
7. I consent to the use of my personal information as outlined in the Disclosure Documents for the relevant version of the Netwealth Wrap Service and Netwealth's Privacy Policy (available on our website) and Financial Services Guide (available on our website);
8. Where I have given a Facility permission for my Adviser Representative to make payments using the Pay Anyone or BPAY facilities ('**the Facilities**') on my behalf. I authorise and instruct Netwealth to give effect to any payment instruction received by Netwealth through the Facilities which Netwealth reasonably believes to have been issued by my Adviser Representative;
9. I authorise Netwealth to disclose to my Nominated Financial Adviser (if applicable) information regarding this transaction and/or my investments held through the Netwealth Wrap Service;
10. I agree to provide Netwealth with an updated 'Foreign Tax Residency information' form within 30 days where any change in circumstances occurs that would cause any information contained in this form to be inaccurate or incomplete; and
11. I acknowledge the matters contained in the important warning about the differences between direct and indirect investment on page 2 of the IDPS Guide.





# Wealth Series Application

## Upfront / Fixed term advice fee

### Instruction



NWNBWSRWUI

Please use **BLACK** pen and **BLOCK** letters.

This form is to accompany a new account application form. In this form a reference to your Adviser means the Nominated Financial Adviser named at Step 2 of this form. References to 'I', 'me' and 'my' include individual investors, joint investors and corporate investors.

By completing this form, you authorise and direct Netwealth to pay the advice fees set out in this form to the AFS Licensee for whom your Adviser acts as an authorised representative (whoever that may be from time to time) and you consent to some or all of this amount being paid by the AFS Licensee to your Adviser (or their nominee).

#### Step 1. Investor details

This instruction accompanies the application to open a Wealth Series account for the following investors (Application)

Investor 1	<input type="text"/>
(as shown in Step 2b of the Application)	<input type="text"/>
Date of birth	<input type="text"/> / <input type="text"/> / <input type="text"/>
Investor 2	<input type="text"/>
(as shown in Step 2b of the Application)	<input type="text"/>
Date of birth	<input type="text"/> / <input type="text"/> / <input type="text"/>
Other account holders	<input type="text"/>
(as shown in Step 2c of the Application)	<input type="text"/>

#### Step 2. Your Nominated Financial Adviser's name

Adviser name	<input type="text"/>
	<input type="text"/>
Adviser code	<input type="text"/>

#### Step 3. Instruction to pay an upfront advice fee

##### Upfront advice fees applying to deposits to your account (including GST)

Initial deposit fixed percentage rate  % Rate applied to all deposits shown in Step 9 of the Application form.

AND/OR

Initial deposit fixed dollar amount \$  This amount is a one-off fee.

#### Step 4. Instruction to pay fixed term advice fees

Start date  /  /  End date  /  /

**▲** The start date cannot be prior to the first of this month and the end date cannot be more than 12 months from the start date.

##### Fixed rate fixed term advice fee based on your total account balance (including GST)

Fixed percentage rate  % p.a.

This is a percentage per year of the total account balance, paid monthly based on the daily total account balance.



### Step 6. Once complete please send to us with your Application

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**Send to us:**[contact@netwealth.com.au](mailto:contact@netwealth.com.au)

Netwealth Investments Limited, Reply Paid 336, South Melbourne VIC 3205

[Activities & Tasks > Document Upload > Wrap Application \(Advisers only\)](#)**For more information:**[netwealth.com.au/russellinvestments](https://netwealth.com.au/russellinvestments)

1800 888 223



Your adviser

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# Wealth Series Application

## Ongoing advice fee arrangement

### Consent



NWNBWSRWOC

Please use **BLACK** pen and **BLOCK** letters.

This form is to accompany a new account application form. In this form a reference to your Adviser means the Nominated Financial Adviser named at Step 2 of this form. References to 'I', 'me' and 'my' include individual investors, joint investors and corporate investors.

By completing this form:

- You can provide consent to an ongoing fee arrangement under which your Adviser will arrange the deduction of ongoing fees from your account; and
- You authorise and direct Netwealth to pay the ongoing advice fees set out in this form to the AFS Licensee for whom your Adviser acts as an authorised representative (whoever that may be from time to time) and you consent to some or all of this amount being paid by the AFS Licensee to your Adviser (or their nominee).

An ongoing fee arrangement is a fee arrangement that is intended to continue to apply for more than 12 months.

These fees are for services provided to you by your Adviser. Your Adviser is required to obtain your written consent before the ongoing fees can be deducted from your account. This form can be used to provide that consent. If you are not happy with the amount described, you do not have to sign this form, in which case the fees will not be paid to your Adviser. You may vary or withdraw your consent at any time by contacting your Adviser in writing or notifying Netwealth. An ongoing fee arrangement is subject to annual renewal.

### Step 1. Investor details

This consent accompanies the application to open a Wealth Series account for the following investors (Application)

Investor 1

(as shown in Step 2b of the Application)

Date of birth  /  /

Investor 2

(as shown in Step 2b of the Application)

Date of birth  /  /

Other account holders

(as shown in Step 2c of the Application)

### Step 2. Your Nominated Financial Adviser's name and contact details

Adviser name

Adviser code

Adviser Email

Adviser Phone (  )

AFS Licensee name

AFS Licensee number

### Step 3. Consent to an ongoing fee arrangement

You enter into this ongoing fee arrangement on  /  /  (the anniversary day will be 1 year after this date)

The anniversary day for the ongoing fee arrangement is the anniversary of the day you enter into the arrangement and is the same day each year. The anniversary day cannot be a date that is more than 30 days after the consent is signed. If you leave this blank or we receive a consent signed more than 30 days before the proposed anniversary day, the date the consent is signed will be used to set the anniversary day.

Your consent will last until 150 days after the anniversary day that occurs 12 months after you enter into the ongoing fee arrangement.

If you have not renewed your consent, ongoing fees will stop being deducted at this date.





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## Client Service Agreement – Direct debit

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### Definitions

**account** means the account held at **your financial institution** from which we are authorised to arrange for funds to be debited.

**agreement** means this Client Service Agreement between **you** and **us** with regard to direct debit arrangements.

**non-business day** means a Saturday or a Sunday or a public holiday listed throughout Australia.

**debit day** means the day that payment by **you** to **us** is due.

**direct debit request** means the direct debit request between **us** and **you**.

**us** or **we** means Netwealth Investments Limited (the debit user) you have authorised by signing a **direct debit request**.

**you** means the customer who signed the **direct debit request**.

**your financial institution** is the financial institution where **you** hold the **account** that **you** have authorised **us** to arrange to debit.

### Drawing arrangements

We will only arrange for funds to be debited from your account as authorised in the direct debit request. Where the debit date falls on a non-business day, we will draw the amount on the next business day.

We will not change any details of drawings arrangements without giving you at least fourteen (14) days' written notice.

We reserve the right to cancel the direct debit arrangements if three or more drawings are returned unpaid by your nominated financial institution and to arrange with you an alternate payment method.

We will keep all information pertaining to your nominated account at the financial institution, private and confidential.

### Your rights

You may terminate your direct debit arrangement at any time by giving signed written notice directly to us. Notice to us should be received by us at least two (2) business days prior to the due date.

You may stop a debit to your account under your direct debit arrangement by giving signed written notice directly to us. Notice given to us should be received by us at least two (2) business days prior to the due date.

You may request a change to the drawing amount by contacting us and advising your requirements no less than two (2) business days prior to the due date.

Where you consider that a drawing has been initiated incorrectly (outside your direct debit arrangement) you may take the matter up directly with us, or lodge a direct debit claim through your nominated financial institution.

### Your responsibilities

It is your responsibility to ensure that sufficient funds are available in the nominated account to meet a drawing on its due date. If there are not sufficient funds in the nominated account a bank dishonor fee may be recovered from your account.

It is your responsibility to ensure that the authorisation given to draw on the nominated account is identical to the account signing instruction held by the financial institution where the account is based.

It is your responsibility to advise us if the account nominated by you to receive the direct debit arrangement is transferred or closed.

It is your responsibility to advise us of a suitable alternate payment method if you wish to amend your direct debit arrangement (where necessary).

All changes or queries regarding this agreement or your direct debit arrangement should be directed to our investor services team on 1800 888 223 or in writing to:

 [contact@netwealth.com.au](mailto:contact@netwealth.com.au)

 [Netwealth Investments Limited, Reply Paid 336, South Melbourne VIC 3205](#)

# Wrap Service

## Foreign tax residency information



NWNBWSFTRI

Please use **BLACK** pen and **BLOCK** letters.

Please complete **ALL** fields in this form. If you are a joint investor, each investor must complete a separate copy of this form.

### Step 1. Provide client details

Investor name	<input type="text"/>	
	<input type="text"/>	
Client number	<input type="text"/>	Account number (if known) <input type="text"/> W <input type="text"/> R <input type="text"/> A <input type="text"/> P <input type="text"/>

### Step 2. Foreign tax residency information

If you are a tax resident of more than one country other than Australia, please list all relevant countries below. You do not need to list any countries already provided in Step 2b of the 'Application' form.

A TIN is the number assigned by each country for the purposes of administering tax laws. This is the equivalent of a Tax File Number in Australia or a Social Security Number in the US. If a TIN is not provided, please list one of the three reasons specified (A, B or C<sup>1</sup>) for not providing a TIN.

1.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C <sup>1</sup>	<input type="text"/>
2.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C <sup>1</sup>	<input type="text"/>
3.	Country	<input type="text"/>	TIN	<input type="text"/>	If no TIN, list reason A, B or C <sup>1</sup>	<input type="text"/>

If there are more countries, provide details on a separate sheet and tick this box

<sup>1</sup> Reason A The country of tax residency does not issue TINs to tax residents.

Reason B You have not been issued with a TIN.

Reason C The country of tax residency does not require the TIN to be disclosed.

Are you a US citizen or resident of the US for tax purposes?  Yes  No

**!** If you are a US Specified Person you must provide a TIN (the account will not be opened without a TIN).

### Step 3. Read and sign this client declaration

By submitting this instruction, I represent to Netwealth that all the details in this form are true and correct and I declare that:

- I have received, read and understood and agree to be bound by the terms and conditions set out in the relevant disclosure documents that are current as at the date I sign this form;
- I authorise Netwealth to disclose to my Nominated Financial Adviser (if applicable) information regarding this transaction and/or my investments held through the Wrap Service; and
- I agree to provide Netwealth with an updated 'Foreign Tax Residency information' form within 30 days where any change in circumstances occurs that would cause any information contained in this form to be inaccurate or incomplete.

Signature	<input type="text"/>	Date	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>
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It is recommended that you retain a copy of the completed form for your own records.

### Step 4. Once complete please send to us

**Send to us:** Netwealth Investments Limited, Reply Paid 336, South Melbourne VIC 3205

**For more information:** [netwealth.com.au/russellinvestments](https://netwealth.com.au/russellinvestments) 1800 888 223

Your adviser

