



Adviser third party information and fee authority form

For Super and Pension members

Please use **BLOCK LETTERS** and **black ink**.

Complete this form to authorise your adviser (third party) to view your information in relation to your Australian Ethical Retail Superannuation Fund (Australian Ethical Super) account(s). Authorisation will begin when your completed form is received and processed by us. Please consider the level of information relating to your account that will be made available to your adviser. This form should also be completed to start or amend an adviser service fee authority arrangement.

- !** **Important:** Please ensure your dealer group has completed a RCTI and you are registered as an adviser with Australian Ethical Super. Otherwise, there could be delays when setting up the fee arrangement.

If you make any amendments or corrections to the fee agreement amount on this form, this application will be invalid and a new form is required.

Send your completed form to:

Australian Ethical Super, GPO Box 3117
Brisbane QLD 4001

Or login to the adviser portal at
australianethical.com.au/adviser and
upload the completed forms under the
'We're here to help' section.

Step 1: Confirm your member details (This section is used to verify your membership in the fund, not to update your details)

Account number

Date of birth (DD/MM/YYYY)

Surname

Full given name(s)

Home phone

Mobile

Email

Residential address (PO Box is NOT acceptable)

Address

Suburb

State

Postcode

Country

Postal address (If different to residential address)

Address

Suburb

State

Postcode

Country

Step 2: Adviser, Nominee and Dealer Group details (together, the 'Advice Entities')

Adviser full name

Adviser Company Name

Email (personalised)

Adviser Company Address

Direct line

Mobile

Company ABN

ASIC Financial Adviser / Authorised Representative Number

Dealer Group Name

Dealer Group AFSL

Type of Authority

☐ I want to set up a new adviser service fee authority **Complete steps 3, 4 and 5**

⚠ Note: if you currently have an adviser service fee set up, your new adviser service fee arrangement will only commence once the previous one has ended.

☐ I only want to set up a third party information authority **Complete steps 4 and 5**

☐ I want to amend my current third-party information authority **Complete steps 4 and 5**

⚠ Note: this will only update your third-party information authority. If you have an adviser service fee in place, this will remain as is.

Step 3: Adviser service fee

This fee nomination is to apply to my: ☐ Australian Ethical Super account **OR** ☐ Australian Ethical Pension account

Your adviser (and your adviser's Dealer Group) is requesting your consent to arrange for the deduction of an advice fee from your account(s) for their advice and related services, as set out below.

If you give your consent by this form, you will also give your consent to Australian Ethical Super to deduct the relevant advice fee from your account to pay your adviser (or your adviser's Dealer Group). If you are not happy with the amount or the service being offered by your financial adviser, you do not have to sign this consent.

If you sign this consent, the following fee will be deducted proportionately from your investment options in your account at the end of the month. If there are insufficient funds in your account at deduction date, the adviser service fee will be deducted at the end of the month when sufficient funds are first available to pay the full amount of the fee.

Please ensure the amount you insert below is the annual amount (if fee being made in instalments) and is inclusive of GST.

If you are paying a one-off lump sum fee, please ensure there are sufficient funds in your account to fully pay for this fee in the first 4 months of opening your account otherwise the fee will expire.

One-off fee paid as a lump sum

Maximum per annum
– \$8,000 (incl. GST) \$ (incl. GST)

One-off fee paid in monthly instalments over a fixed term*

Maximum per annum
– \$8,000 (incl. GST) \$ per annum (incl. GST)

*Fixed term of 12 months. Fees are deducted monthly in arrears. The pro rata fee due in the last month is paid in advance and is brought forward to the month prior. For new accounts the fee will commence from Date Joined Fund.

Your fee consent expiry or withdrawal

How long consent will last – Your fee consent expires once the full amount of the one-off fee has been deducted from your account, provided that the relevant arrangement with your adviser (or your adviser's Dealer Group) has not terminated and you have not withdrawn this consent prior to that date. This means your financial adviser will have to ask for your consent again if Australian Ethical Super is to deduct fees from your account for further advice in the future.

Withdrawal of consent - You can withdraw your consent to the deduction of adviser service fees from your account by contacting us using the contact details on the final page of this form, at any time prior to the fee being deducted from your account. If your account is closed or we are notified of any relevant changes to the arrangements or details outlined in this form, your advice fee will stop, with the final fee deduction being a pro-rata calculation based on the date the consent withdrawal is received.

Your financial advisers' obligations

Your financial adviser will provide you with financial advice for the fee set out in this consent form. As part of this advice, your adviser will have provided you with a Statement of Advice which may cover, amongst other things the suitability of your existing superannuation arrangements and whether you will have enough super for your retirement.

Step 4: Adviser declaration and Signature

Where an adviser service fee is charged:

As the financial adviser for this member, I declare that:

- The adviser service fee being requested is in relation to the member's account held with Australian Ethical Super and
- I have provided this member with a Statement of Advice which includes the following service/s related to this fee (please tick types of services provided):

- ☐ The suitability of this member's existing superannuation arrangements
- ☐ Whether the member will have an adequate superannuation fund balance for their retirement
- ☐ Other (please describe these services):

By arranging for the deduction of the advice fee detailed in this form, the Advice Entities requesting this consent confirm and agree that:

- The proposed adviser service fee(s) and the details provided in this form are consistent with the terms of the arrangement between the Advice Entities and the member and there is no other agreement or arrangement with the member that may be inconsistent with the details provided in this consent. To the extent of any inconsistency between the terms of the existing arrangement between the Advice Entities and the member and the details in this form, this form prevails;
 - The Trustee of Australian Ethical Super is not a party to the above arrangements and is not liable for any losses which may arise therefrom.
 - The Advice Entities will immediately inform Australian Ethical Super of any changes to the arrangement with the member that may be inconsistent with the details provided in this consent;
 - The services listed in this form have been or will be provided in accordance with the terms of the arrangement with the member and this consent;
 - The proposed Adviser service fee amount is a reasonable amount for the proposed services listed below;
 - Where the account is a superannuation account, the services provided will only be in relation to the member's super account
 - Once the member has signed the form, the Advice Entities authorise for the signed form to be provided to Australian Ethical Super
 - the Adviser will still have additional obligations under the Dealer Group/Adviser terms and conditions (as applicable).
- I will be responsible for making necessary arrangements directly with the relevant dealer group to recoup any overpayments that have been made to them and to direct it to the correct entity in relation to fees for advice referred to in this form.
- I understand the adviser service fee deduction will stop if the account is closed, if the consent is withdrawn or there have been any changes to the arrangements nominated in this form requiring a new form to be signed.
- If any payments for the adviser service fee are outstanding, I will contact my client directly to arrange a new agreement/payment and neither the Trustee nor Australian Ethical Super will be liable for the payment of any outstanding fees.
- If payments for the adviser service fee have been made to the incorrect dealer group due to a failure to provide Australian Ethical Super with updated information, neither the Trustee nor Australian Ethical Super will have any obligation in relation to those payments.
- I understand the Trustee may be in contact with me in relation to this advice fee arrangement and may seek confirmation that services have been provided and may request an extract of the Statement of Advice, if required.
- I confirm that any advice provided to this member in relation to Australian Ethical's Superannuation products has taken into consideration the Target Market Determination available at www.australianethical.com.au/super/pds-forms/ and this advice is consistent with the proposed acquisition of the product.

Where there is an information authority:

- I agree to keep the details required to access the digital portal secure (e.g. username and password) and will notify Australian Ethical Super immediately in the event of any actual or suspected loss or misuse of those details, as well as any actual or potential unauthorised access to the member portal.
- I agree to keep the member's personal information private and confidential and to only use their personal information for the purposes of providing them with financial advice.
- I understand that I am not authorised to change the member's personal contact details, give any instructions or carry out any transactions on the member's behalf, including switching investment options, making contributions, requesting a rollover or making lump sum withdrawals.
- I understand that I am liable for all actions of my support staff who act on my behalf.
- I understand my personal information will be held in accordance with the Privacy Policy available at australianethical.com.au/privacy-policy

Please note, as the adviser, you must sign and date this form before the client. If the date you've signed this form is after the client, this form will be rejected and a new form will be required.

- ❗ Please note if you are using an electronic signature, this must be signed using OneSpan, DocuSign, Annature, Adobe Acrobat Sign or FuseSign, and the forms will need to be accompanied by a time-stamped certificate.

Adviser signature

Adviser full name (please print)

Date form signed (DD/MM/YYYY)

Step 5: Member declaration and authorisation

Third party information authority

By signing this form I am making the following declaration:

- I declare that the information I have provided on this form is true and correct.
- I understand that Australian Ethical Super may provide information relating to my account in writing, verbally or through a secure digital portal to the adviser (and nominee(s)) on this form and their support staff when requested by the adviser.
- I understand that this authority provides consent to my adviser and their support staff to access read-only information on all my existing Australian Ethical Superannuation and/or Pension accounts.
- I understand this nomination will remain in effect until I or my adviser provides notice to revoke the authority, even if the adviser service fee consent has expired or been revoked.
- I agree that neither the Trustee nor Australian Ethical Super is responsible for any loss or delay which results from Australian Ethical Super providing information to my adviser pursuant to this authority.
- I understand once Australian Ethical Super receives the completed form, they will provide my nominee (indicated in step 2), and their support staff with information (oral, written or electronic) in relation to my Australian Ethical Super account as if the request was made by me.
- I understand the nominated person(s) will not be authorised to change my personal contact details, give any instructions or carry out any transactions on my behalf, including switching investment options, making contributions, requesting a rollover or making lump sum withdrawals. Personal information such as my tax file number and bank account details will not be released to the nominated person under any circumstances.
- I understand although my nominated person(s) has 'read only' access through the adviser portal, I acknowledge that by allowing my adviser and their support staff access to my personal information, there is an increased risk that my personal information could be used in unauthorised ways.
- I agree to release, discharge and indemnify the Trustee and/or Australian Ethical Super from and against all actions, claims, demands, expenses and liabilities (however they arise) suffered by myself or suffered by or brought against the Trustee and/or Australian Ethical Super, in respect of the information given by Australian Ethical Super to the nominated person pursuant to this authority.
- I agree and understand that I have directly engaged the dealer group and/or the adviser to provide financial services. I agree that the Trustee or Australian Ethical Super is not a party to that arrangement and is not liable for any loss which results from that arrangement.
- I declare that I, the member named in this form, have read and agree to these terms and conditions of appointing the adviser and nominee (if applicable) to have the authority to access my information.
- I agree that the neither the Trustee nor Australian Ethical Super will be held liable for any loss arising from: any failure by an adviser to keep their password secure and confidential; and/or any fraud or inappropriate action taken by an adviser (or a person purporting to be an adviser) as a result of using information held about me.

Adviser service fee consent

- I have directly engaged the adviser and/or the Dealer Group for the advice services to be provided to me and I consent to Australian Ethical Super deducting the fees from my super account and paying them to the Dealer Group.
- I understand that I can vary/withdraw my consent at any time before the fee is deducted.
- In the event that my adviser has informed Australian Ethical Super that they are no longer affiliated with the Dealer Group, I authorise Australian Ethical Super to pay any remaining fees to the Dealer Group and to terminate the current adviser service fee agreement. I acknowledge that if I appoint a new adviser, I will be required to submit a newly completed and signed adviser service fee agreement form with the updated details to Australian Ethical Super.
- I will notify Australian Ethical Super if I do not receive the services listed above, or an inconsistency arises between the details in this form and my agreement with the adviser and/or Dealer group.
- If a transaction is pending on my account when this consent is withdrawn, the transaction will need to be processed first before the adviser service fee consent is removed.
- If there are insufficient funds in my account on the deduction date, the adviser service fee will be deducted at the end of the month when sufficient funds are first available to pay the full amount of the fee.
- If I am paying a one-off lump sum fee, I understand if there are insufficient funds in my account to fully pay this fee in the first 4 months of opening my account then the fee will expire.
- I understand that an adviser fee request will be rejected if the maximum annual limit has been reached, or if the requested payment breaches this limit.
- I understand and agree that if there are any changes to the adviser, adviser company or dealer group or other details specified in this form, a new Adviser third party information and fee authority form may need to be completed, upon request. I understand Australian Ethical Super will cease payment of fees under this authority if a new fee authority is requested.
- I understand the adviser service fee deduction will stop if my account is closed, if the consent is withdrawn or there have been any changes to the arrangements nominated in this form requiring a new form to be signed.
- If a payment for the adviser service fee is outstanding, I will contact my adviser or the dealer group (as required) directly to arrange a new agreement/payment and neither the Trustee nor Australian Ethical Super will be liable for the payment of any outstanding fees.
- I declare that the adviser service fee only relates to advice about superannuation.

❗ Please note if you are using an electronic signature, this must be signed using OneSpan, DocuSign, Annature or Adobe Acrobat Sign, and the forms will need to be accompanied by a time-stamped certificate.

Member signature

Member full name (please print)

Date form signed (DD/MM/YYYY)

❓ If you have any questions, please contact Australian Ethical Super on 1800 021 227.