

# MASON STEVENS GLOBAL INVESTMENT SERVICE

Investment Allocation Form

JULY 2019



Date

 /  / 

Account name

Account number (if existing client)

## INVESTMENT ALLOCATION APPENDIX

### Investments may be a cash or security investment

Securities and other investments that you own can be transferred to your account. To do so, you will need to complete the appropriate documentation that will be provided by your financial adviser. You can only transfer investments to your account where there is no change in beneficial ownership.

A cost base history needs to be recorded for each of the investments transferred to your account before the transfer can be finalised. You should carefully check the details you are providing. We accept no liability for the information provided.

Please ensure you read the relevant disclosure document before you invest.

Investment option	Cash investment (\$)	Security investment (\$) <sup>2</sup>	Upfront Adviser Fee <sup>3</sup> (% or \$)	Ongoing Adviser Fee <sup>3</sup> (% or \$ pa)
<b>Managed discretionary accounts<sup>1</sup></b>				
<b>AUSTRALIAN EQUITIES OPTIONS</b>				
Mason Stevens ASX 20 Managed Portfolio				
8IP Smaller Companies Managed Portfolio				
DNR Capital Australian Equities High Conviction Managed Portfolio				
DNR Capital Australian Equities Socially Responsible Managed Portfolio				
DNR Capital Australian Equities Income Managed Portfolio				
Charter Hall Maxim Property Securities Managed Portfolio				
Perpetual Direct Equity Alpha Portfolio				
Quest Australian Equities Concentrated Portfolio - Wholesale				
Quest Australian Equities Concentrated Portfolio - Retail				
Quest Australian Equities Highly Concentrated Portfolio				
Quest Australian Equities Ex-20 Portfolio – Wholesale				
Quest Australian Equities Ex-20 Portfolio – Retail				
<b>GLOBAL EQUITIES OPTIONS</b>				
Franklin Concentrated Global Equity ex-Australia Managed Portfolio				
Loftus Peak Global Change Managed Portfolio				
Mason Stevens Concentrated Global Equity Managed Portfolio				
Pengana International Equities Managed Portfolio				
Stalbridge Capital Global Opportunity Managed Portfolio - Retail				
Stalbridge Capital Global Opportunity Managed Portfolio - Wholesale				

See over for further investment options.

<sup>1</sup> If you are a retail client, your financial adviser must have issued you with a statement of advice for the relevant management discretionary account investment option.

<sup>2</sup> Please complete the relevant in specie transfer form.

<sup>3</sup> Includes GST, however, we may be entitled to receive a reduced input tax credit (RITC) on these fees and the amount deducted from your account to pay these fees may be less than the amount shown on this form.

Investment option	Cash investment (\$)	Security investment (\$)²	Upfront Adviser Fee³ (% or \$)	Ongoing Adviser Fee³ (% or \$ pa)
<b>FIXED INTEREST OPTIONS</b>				
Mason Stevens Wholesale Fixed Income Managed Portfolio				
Mason Stevens Australian Fixed Income Managed Portfolio				
<b>Other portfolios</b>				
Self-Directed Portfolio				
<b>Total</b>	<b>\$</b>	<b>\$</b>		

<sup>1</sup> If you are a retail client, your financial adviser must have issued you with a statement of advice for the relevant management discretionary account investment option.

<sup>2</sup> Please complete the relevant in specie transfer form.

<sup>3</sup> Includes GST, however, we may be entitled to receive a reduced input tax credit (RITC) on these fees and the amount deducted from your account to pay these fees may be less than the amount shown on this form.

The entity application is made by applicant(s) or individual or joint applicants.

Individual 1  Trustee 1  Director 1

Name

Signature

Capacity

Date

 /  / 

Individual 2  Trustee 2  Director 2

Name

Signature

Capacity

Date

 /  / 

Individual 3  Trustee 3  Director 3

Name

Signature

Capacity

Date

 /  / 

Individual 4  Trustee 4  Director 4

Name

Signature

Capacity

Date

 /  / 

## APPLICANT DECLARATION

By submitting this application form and supporting documentation, I/we confirm each of the following for the benefit of Mason Stevens to rely upon signing this form:

- a. If applying as a natural person, I am/we are over 18 years of age.
- b. I/We have read, understood (or, if applicable, our authorised signatory on our behalf has read and understood) and retained a copy of, and agree to be bound by, the terms.
- c. If I/we have applied as a retail client, I/we confirm that I/we have read and understood (or, if applicable, our authorised signatory on our behalf has read and understood) the Financial Services Guide issued by Mason Stevens.
- d. I/We confirm that all information provided by us to Mason Stevens and my/our financial adviser (as applicable, and whether in this application form or by other means) is not inaccurate, out-of-date or incomplete.
- e. I/We apply for an account on the terms.
- f. Mason Stevens may require further information from me/us from time to time. I/We agree to provide such further information as is reasonably required by Mason Stevens promptly after a request.
- g. Mason Stevens may provide information on the status of my/our investment to my/our nominated financial adviser or such other persons as is reasonably necessary for my/our investment.
- h. Mason Stevens is not liable for any loss incurred by me/us as a result of any action which either delays my/our account being opened or results in my/our application being declined.
- i. If I/we do not provide Mason Stevens with information as requested, or if there is a delay in me/us providing such information, then Mason Stevens may not be able to open my/our account.
- j. Mason Stevens may use and disclose my/our personal information in compliance with its privacy policy.
- k. I/We understand and acknowledge that dealing in exchange traded securities and derivatives will be governed by the applicable rules of the applicable exchange and the Corporations Act 2001 (Commonwealth) as amended, and that investing in leveraged derivative products carries a high level of risk to capital, potential volatility and fluctuations in value which may result in me/us losing more than my/our initial investment amount.
- l. I/We acknowledge that I/we are aware that this application form does not constitute an offer or invitation in any place outside of Australia where or to any person to whom it would be unlawful to make such an offer or invitation. I/We also acknowledge that the distribution of this application form (electronically or otherwise) in any jurisdiction outside of Australia may be restricted by law and persons who come into possession of this application form should seek advice on and observe any such restrictions.
- m. I/We will comply and will continue to comply with applicable anti-money laundering and counter-terrorism financing laws (AML/CTF Act) and regulations, including but not limited to the law and regulations of Australia in force from time to time.

## APPLICANT DECLARATION (CONT)

- n. I am/We are not aware and have no reason to suspect that the monies used to fund my/our investment have been or will be derived from or related to any money laundering, terrorism financing or similar activities illegal under applicable laws or regulations; or that the proceeds of my/ our investment will be used to finance any illegal activities.
- o. I/We will provide Mason Stevens with all additional information and assistance it may request in order for it to comply with any AML/CTF Act, the Common Reporting Standard (CRS), US Foreign Account Tax Compliance Act (FATCA), or any other applicable law.
- p. I/We am/are not a politically exposed person or organisation for the purposes of any AML/CTF Act.
- q. The information provided by me/us in, and in connection with, FATCA & CRS, which forms part of my/our application to Mason Stevens:
- is correct and may be used by Mason Stevens to undertake any action to comply with any applicable regulation, including on behalf of another member of the Mason Stevens Group
  - may be disclosed to any other person, to enable it to be reported and used in compliance with the applicable regulation, and
  - will be updated within 30 days when there are any changes.
- r. 'Applicable Regulation' means all laws, rules, regulations and other legal requirement(s) in force from time to time in Australia. These include, without limitation, FATCA or CRS.
- s. Investing through an MDA Service
- If I am/we are applying for an MDA Service:
- I/we acknowledge that we have read and understood (or, if applicable, our authorised signatory on our behalf has read and understood) the MDA service terms which are included in the investment program selected by me/us in this application.
  - I/we confirm that on acceptance of this application I/we will be bound by the MDA service terms in relation to each investment program selected by me/us.
  - I/we acknowledge that my/our agreement to the MDA service terms authorises Mason Stevens with discretion to implement the investment program.
  - If I/we have applied as a retail client for an MDA service:
    - I confirm and agree that my/our MDA contract for each investment program will comprise the MDA service terms in the investment mandate for that investment program and those MDA service terms include and incorporate the investment program in the statement of advice to me/us for the investment program.
    - If I am/we are advised by an external MDA adviser on the investment program, I/we confirm that (even though Mason Stevens receives personal information about me/us and the MDA contract includes the investment program in the statement of advice provided to me), Mason Stevens:
      - will not separately enquire into or verify my/our personal financial circumstances, needs or objectives
      - will not assess any (personal or other) information from or about me/us in relation to any MDA services which is provided to Mason Stevens
      - will not give any personal advice to me/us on the investment program (including any advice on the MDA contract) (including advice on whether it is appropriate and suitable for my/our needs), and
      - will not be liable for any personal advice by my/our external MDA adviser.
    - If I am a trustee/we are trustee(s) for a self-managed superannuation fund (SMSF) given personal advice by Mason Stevens about the MDA contract, the advice is only in relation to investment of SMSF funds through the MDA service and not otherwise in relation to the SMSF.

**Mason Stevens Limited**

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AFSL 351578

[masonstevens.com.au](https://masonstevens.com.au)