

Adviser code request



Please complete this form to setup a new adviser code.

Complete this form in **BLOCK LETTERS** and send it to us by either:

- > email: dealersvc@asgard.com.au
- > mail: Asgard, PO Box 7490, Cloisters Square WA 6850

Questions? Call Online Services on 1800 060 802

Note:

- > Please ensure any documents (containing personal information) attached within your email, are sent securely to us. Options available can be found in the 'Data protection guide'.
- > Adviser code requests can only be made in the name of an authorised individual, not in the name of a business or company.

Checklist

- Complete all relevant sections, sign and date this form.
- Attach a copy of the Adviser Authorisation/AFS Licence (relevant to the individual under this application)
- Attach copies for at least 2 forms of ID such as driver's licence, passport and/or Medicare card (relevant to the individual under this application).

Additional information required if you are transferring existing clients from a previous adviser code:

- Attach a copy of the transferring Dealer Group release letter or individual client authorities to transfer
- Attach the list of clients to be transferred (if transferring specific clients only).

1. Your details (as per your ID documentation)

Title	Last name	
<input type="text"/>	<input type="text"/>	
Given name (first name, middle name)	Date of birth	
<input type="text"/>	<input type="text"/>	
Other names (if any)	Gender	
<input type="text"/>	<input type="checkbox"/> Male <input type="checkbox"/> Female	
Position held	AFSL number – mandatory	
<input type="text"/>	<input type="text"/>	
Authorised Representative Number – mandatory		
<input type="text"/>		
Business trading name		
<input type="text"/>		
Business address – mandatory (PO Box not accepted)		
<input type="text"/>		
<input type="text"/>	State <input type="text"/> Post code <input type="text"/>	
Postal address (if different to the business address)		
<input type="text"/>		
<input type="text"/>	State <input type="text"/> Post code <input type="text"/>	
Residential address – for ID reference only (as per your ID documentation)		
<input type="text"/>		
<input type="text"/>	State <input type="text"/> Post code <input type="text"/>	
Email – mandatory		
<input type="text"/>		
Phone (Business) – mandatory	Phone (Mobile) – mandatory	Receive direct marketing
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

2. Adviser, Dealer and Office codes

Do you currently hold an Asgard Adviser code?

- Yes provide a current code BA - 01
- No I am new to Asgard

Do you have an existing Dealer or Office code that you want to link your new Adviser code?

Yes ➔ Provide the Dealer and Office codes below

Dealer code: BD - 01

Existing dealer name:

Office code: BO - 01

i If an Office code is not provided, a new Office code will automatically be created under the existing Dealer code.

Existing office name:

If your office is applying for multiple Adviser codes, please provide office name below. This will ensure we link all the new Adviser codes to the same office.

Office name:

- No Complete and attach a **Dealer Application form**
i The Dealer Application form is available from our Business Development Manager or Contact Centre.

3. Transferring existing clients

Are you transferring any existing clients from an existing Adviser code?

- Yes Complete the Transfer details section below
i Ensure you attach the release letter from the transferring Dealer group.
- No Proceed to section 4. Access to AdviserNET

Transfer details

Indicate below the existing Adviser code and clients you wish to transfer.

i Please attach with this form the release letter issued by the transferring Dealer Group who currently holds these clients. This may be completed by the Dealer's authorising Officer (Dealer Principal, State or Senior Manager) or Adviser. Alternatively, attach individually signed authorities to transfer.

Note:

- > When transferring existing superannuation and pension clients to a new Dealer Group, the destination Dealer Group must be licensed to give superannuation advice.
- > When transferring from a Dealer Group to a new Dealer Group they must be both under the same promoter.

Existing Adviser code BA - 01

Existing Adviser name (as reflected on the BA code)

- Transfer all clients from the above existing Adviser code
- OR
- Transfer only specific clients from the above existing Adviser code

i Please attach the list of clients to be transferred from this Adviser code.

4. Access to AdviserNET

Do you require AdviserNET access?

- Yes** Complete the User details section below
- No** Proceed to section 5. Identity verification

User details

Preferred user name (up to 8 letters and/or digits – subject to availability e.g. john123)

Indicate the access you require below (you may select more than one option):

- Adviser code access
- OR
- Office code access

i If you are applying for Office code access, you MUST have the Managing director or Office principal sign the authorisation below.

Authorised by

- Managing Director
- Office principal

Signature

Name of person authorising

5. Identity verification

We will verify your identification information if you are new to Asgard, or have not previously been verified by us.

If your identity has been successfully verified, you don't have to provide any ID documents.

Provide copies for at least 2 forms of ID of the documents below. Providing all 3 ID documents will increase your success rate of being verified.

Select which documents you have attached with this form:

- Australian driver's licence (Front and back)
- Passport
- Medicare card Medicare card colour: Green Yellow Blue

Do you agree to electronic identity verification?

- Yes, I confirm that I am authorised to provide the personal details presented and I consent to my information being checked with the document issuer or official record holder via third party systems and services for the purposes of confirming my identity. I have also read and agree to the [Electronic Identity Verification Terms](#).
- No, I will provide certified copies of my ID documents, along with this form, to Asgard – PO Box 7490, Cloisters Square WA 6850.

6. Your signature

In signing below, you are bound by the 'AdviserNET user agreement'. A copy of this agreement can be accessed via onlineservices@asgard.com.au and will be made available when you login to AdviserNET for the first time.

Signature

Date

Terms and conditions

In signing this form, you are bound by the 'AdviserNET user agreement' and 'Electronic Identity Verification Terms'. These terms and conditions will be updated from time to time. Upon your first login you will receive a prompt to accept the most recent terms and conditions. These should be reviewed prior to accepting as they could have been amended since signing this form.

Anti-Money Laundering, Counter-Terrorism Financing and Sanctions obligations

We are bound by applicable laws about the prevention of money laundering and the financing of terrorism as well as sanctions obligations, including but not limited to the Australian Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AML/CTF laws).

We are required to carry out procedures that verify you and your clients identity before providing services to you, and from time to time thereafter.

Data Protection

For secure data protection, Asgard recommends the use of Fileshare, a secure external file sharing solution that will provide an efficient way for you to send and receive sensitive information. Please contact our Customer Relations team on 1800 060 802 to assist with this setup.

For security reasons, if any documents containing personal information are attached within your email, please ensure that these are password protected. Failure to do so is at your own risk as we're unable to assume responsibility for your security obligations.

Privacy Collection Notice

Asgard Capital Management Ltd ABN 92 009 279 592 ('Asgard') collects personal information from you:

- > to process your application
- > to communicate and manage our relationship with you
- > to ensure you receive product and other important updates, and
- > for our related administrative purposes.

We may also use or disclose your personal information where required by, or authorised under privacy law, laws preventing money laundering and terrorism financing, including the Anti-Money Laundering and Counter-Terrorism Financing Act 2006, sanctions obligations and financial services laws. We may also use your information to tell you about products or services we think may interest you. Please note, if you do not provide your personal information we would be unable to process your application and may not be able to provide you access to AdviserNET.

If you do not provide all the information we request, we may need to reject your application, or we may not be able to provide a service to you.

We may disclose your personal information to other members of the Westpac Group (Westpac Banking Corporation and its related bodies corporate), anyone we engage to do something on our behalf such as a service provider, other entities who provide services or products through or in connection with our business and other organisations that assist us with our business.

We may disclose your personal information to an entity which is located outside Australia. Details of the countries where the overseas recipients are likely to be located are in the Privacy Policy.

As a provider of financial services, we have obligations to disclose some personal information to government agencies and regulators in Australia, and in some cases offshore. We are not able to ensure that foreign government agencies or regulators will comply with Australian privacy laws, although they may have their own privacy laws. By using our products or services, you consent to these disclosures.

Privacy Policy

The Privacy Policy is available at asgard.com.au or by calling 1800 998 185. It covers:

- > how you can access the personal information we hold about you and ask for it to be corrected;
- > how you may complain about a breach of the Privacy Act 1988 and how we will deal with your complaint;
- > how we collect, hold, use and disclose your personal information in more detail.

The Privacy Policy will be updated from time to time.

Contact details:

Asgard Capital Management Ltd
ABN 92 009 279 592 AFSL 240695
Online Services 1800 060 802
PO Box 7490, Cloisters Square, WA 6850

The logo for Asgard, featuring the word "Asgard" in a bold, red, serif font.