



# Appoint, Change or Cancel a Financial Adviser

UBS Asset Management (Australia) Ltd

Use this form if you are an existing investor and wish to appoint, change or cancel your financial adviser. You can also use this form to change your details (such as your address). If you are an existing investor who has invested through an IDPS or external broker you will need to contact that provider to change your details.

Please complete all sections in BLOCK letters, using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

## HOW TO COMPLETE THIS FORM

---

### Step 1 Please ensure that you have completed the following:

- written your investor number and investor name as it appears on your latest statement
- completed **section 2** 'Appoint, change or cancel a Financial Adviser'
- signed the form as per the 'Acknowledgements and signatures' in **section 6**'.

---

### Step 2 Send your documents to us.

You can return your forms by post or email according to the details below:

You can return your forms by post to:  
UBS Asset Management (Australia) Ltd  
GPO Box 804  
Melbourne VIC 3001

Scan and email to: [ubs\\_transactions@unitregistry.com.au](mailto:ubs_transactions@unitregistry.com.au)

Please include your investor number in the subject line of your email.

---

## LEGAL NOTICES

UBS Asset Management (Australia) Ltd ABN [31 003 146 290], Australian Financial Services Licence [222605], is the Responsible Entity and issuer of this Appoint, Change, Cancel a Financial Adviser Form.

Your privacy is important to us. We will treat all personal information in accordance with UBS Asset Management (Australia) Ltd's Privacy Policy. A copy of the Privacy Policy can be obtained by calling 1800 075 218 or +61 2 9324 3034 or from UBS Asset Management (Australia) Ltd's website: <https://www.ubs.com/global/en/legal/privacy/australia.html>

Last updated: 28 June 2023

## 1. INVESTOR DETAILS

Investor number

Investor name

## 2. APPOINT, CHANGE OR CANCEL A FINANCIAL ADVISER

Appoint/change a Financial Adviser

Cancel a Financial Adviser

**Please provide details of your Financial Adviser.**

Surname or Company Name

Adviser name

AFSL number

Authorised representative number

## 3. APPOINTMENT OF A FINANCIAL ADVISER

This section should be completed by your Financial Adviser. Your financial adviser will have online access to your account. If you would like your financial adviser to receive copies of your statements by email please enter their email address below.

Account name

Notice to Financial Adviser by completing this section of the application form, you are confirming that you hold a current Australian Financial Services Licence (AFSL), or are otherwise authorised to advise on this product.

If you would like to register for adviser online to view your client's investment information, please complete the below.

### Financial adviser contact details

**Business address** - (A PO Box/RMB/Locked Bag is not acceptable)

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Postal address** (if different to residential address). A PO Box/RMB/Locked Bag is acceptable.

Unit

Street number

Street name

Suburb

State

Postcode

Country

**Contact details** (for company or contact person)

Business number (include country and area code)

Mobile number (include country code)

Adviser signature

Full name

Date (DD/MM/YYYY)

### Keeping us informed

---

Our records about you are important. Please inform us in writing (must be signed by the authorised signatories) of any changes to details which you have given us. This may be a new postal address, a change of name or new financial institution account details for distribution payments.

We will send you written confirmation of any changes. Please quote your Investor Number when you contact us.

### Collecting and using your information

---

We collect information for the following purposes:

- to process your application;
- to administer your investment and provide you with reports;
- to monitor and improve the quality of service provided to you; and
- to comply with regulatory or legal requirements, including the Corporations Act, the Proceeds of Crime Act, the Financial Transaction Reports Act, the Taxation Administration Act and the Anti-Money Laundering and Counter-Terrorism Financing Act.

We also ask you for some personal details so that we, and our related companies, can keep in touch with you and tell you on an ongoing basis about our other products and services that could be useful to you. We may do this by telephone, electronic messages (eg. email), online and other means. Please contact us if you do not wish your details to be used for marketing purposes.

We may gather information about you from a third party. These include credit agencies, financial advisers, fund managers or intermediaries and spouses. We may also collect details of your interactions with us and our products and services (including from our records of any telephone, email and online interactions).

If you provide someone else's personal information to us, you must ensure that they first agree on the basis of this privacy section.

### Collecting and using your information

---

We collect information for the following purposes:

- to process your application;
- to administer your investment and provide you with reports;
- to monitor and improve the quality of service provided to you; and
- to comply with regulatory or legal requirements, including the Corporations Act, the Proceeds of Crime Act, the Financial Transaction Reports Act, the Taxation Administration Act and the Anti-Money Laundering and Counter-Terrorism Financing Act.

We also ask you for some personal details so that we, and our related companies, can keep in touch with you and tell you on an ongoing basis about our other products and services that could be useful to you. We may do this by telephone, electronic messages (eg. email), online and other means. Please contact us if you do not wish your details to be used for marketing purposes.

We may gather information about you from a third party. These include credit agencies, financial advisers, fund managers or intermediaries and spouses. We may also collect details of your interactions with us and our products and services (including from our records of any telephone, email and online interactions).

If you provide someone else's personal information to us, you must ensure that they first agree on the basis of this privacy section.

## Disclosing your information

---

We exchange your personal information with your consultant/adviser and third parties appointed by your consultants/adviser if you complete **section 8 and 9** of the Application Form, or if you request us to, and to any other authorised representative of yours (such as your accountant or lawyer) from time to time.

In addition, we may exchange personal information about you in the following circumstances:

- you consent to the disclosure;
- with any joint investor;
- with companies that provide services to us, to our related companies, to the Fund, or on our behalf (and our related companies may also exchange personal information with these companies) - for example administration, custody, investment management, technology, identity verification, auditing, registry, mailing or printing services; or
- where required or authorised by law, which may include disclosures to the Australian Taxation Office and other Government or regulatory bodies; or
- with organisations related to us whether in Australia or any overseas jurisdiction ('Related Companies').

In some cases, the types of organisations referred to above to whom we will disclose your personal information may be located in Switzerland, China, Hong Kong, India, New Zealand, Poland, Singapore, United Kingdom, United States of America and other countries.

## 5. ACKNOWLEDGEMENTS AND SIGNATURES

When you apply to invest, you (the applicant) are telling us:

- you have received, read and understood the current PDS,
- monies deposited are not associated with crime, money laundering or terrorism financing, nor will monies received from your account have any such association,
- you are not bankrupt or a minor, and
- you agree to be bound by the constitution of the Fund and the PDS as supplemented, replaced or re-issued from time to time.

## Collecting and using your information

---

By completing and signing this form, you

- authorise us to act according with the instructions on this form
- acknowledge that the instructions on this form supersede, and have priority over, all previous instructions received by us, and
- agree to indemnify us from and against all losses, costs, expenses, claims, actions or proceedings brought against us in connection with following your instructions on this form

**Individual** - where the investment is in one name, the account holder must sign.

**Joint Holding** - where the investment is in more than one name, all of the account holders must sign.

**Companies** - where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

**Trust** - the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

**Power of Attorney** - if you have not already lodged the Power of Attorney with us, please attach an original certified copy of the Power of Attorney document that includes Certificate of Witness and Statement of Acceptance and original Certified Identification Document of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the Donor is still living.

**Signature of investor 1, director or authorised signatory**

Signature

Date (DD/MM/YY)  /  /

Full name

**Company officer (please indicate company capacity)**

- |                                     |                          |
|-------------------------------------|--------------------------|
| Director                            | <input type="checkbox"/> |
| Sole director and company secretary | <input type="checkbox"/> |
| Authorised signatory                | <input type="checkbox"/> |

**Signature of investor 2, director/company secretary or authorised signatory**

Signature

Date (DD/MM/YY)  /  /

Full name

**Company officer (please indicate company capacity)**

- |                                     |                          |
|-------------------------------------|--------------------------|
| Director                            | <input type="checkbox"/> |
| Sole director and company secretary | <input type="checkbox"/> |
| Authorised signatory                | <input type="checkbox"/> |