



AET SMSF application form

The issuer of this application form is
Australian Executor Trustees Limited.

Dated 1 July 2021

New fund application form

Please use this form if you would like to establish a new fund.

Before you start

By completing this application form you agree to Australian Executor Trustees Limited (AET) providing administration services to your self managed superannuation fund (fund) as set out in the SMSF administration service agreement.

Before you complete this application form you should be aware that AET is not responsible for the provision of any investment recommendations or regulatory advice to your fund. You should consult your financial adviser if you require more detailed information specific to your own circumstances and needs.

Collecting trustee/director TFNs

AET is authorised by superannuation and taxation legislation to collect tax file numbers (TFNs). Trustees/directors are requested to provide their TFN as part of the registration process. It is not an offence for a trustee/director to not quote their TFN, however, by not quoting it there is increased risk of the incorrect identification of individuals linked to the fund and delays in processing the fund's registration.

Application process

Complete this application form and return it to us with appropriate proof of identification.

We will arrange for a customised establishment kit to be sent to you which will include your trust deed, SMSF administration service agreement, trustee consent, ATO declaration and AET My Portfolio access form.

If you have any questions about the application process please call us on 1800 254 180.

Please return your completed application form to:

AET, GPO Box 546, Adelaide SA 5001

Part A: The fund

1. Fund details

Name of fund

Registered address (must be a street address)

Suburb

State

Postcode

2. Fund structure (tick one box only)

Segregated accounts. The fund will consist of separate accounts which individually manage the investments for each member.

Unsegregated account. The fund will consist of a single account which collectively holds all assets for all members.

Part B: The trustees

3. Trustee structure (tick one box only)

Individual trustees (**do not** complete part E of this form)

Corporate trustee (please select one of the following)

Existing company – if you already have a company established that you would like to nominate as the corporate trustee of your fund, please provide the details below:

Company name

Company ACN

Company address

New company – if you would like AET to set up a company to be the corporate trustee of your fund, please continue from part B: point 5 and complete part E of this form.

4. Trustee/director details

Please provide the following information for each individual trustee or corporate trustee director of the fund.

The first named person will be the primary contact. Please note that only statutory documents will be sent to the trustee. All day-to-day correspondence will be sent to the nominated financial adviser listed in part C: point 7.

	Trustee/director 1	Trustee/director 2
Title (Mr, Mrs, Ms, etc)		
Given name(s)		
Surname		
Date of birth		
TFN*		
Is the trustee/director also applying to be a member of the fund?	<input type="checkbox"/> No <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> Yes
Are you a United States (U.S.) citizen or resident for tax purposes?	<input type="checkbox"/> No <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> Yes
If yes, please provide your U.S. Tax Identification Number (TIN)		
Source of wealth What is the source of your wealth? (Your source of wealth refers to the origin of your financial standing or total net worth eg how you have generated your wealth.)	<input type="checkbox"/> Employment <input type="checkbox"/> Investments <input type="checkbox"/> Other (please specify) eg inheritance: _____	<input type="checkbox"/> Employment <input type="checkbox"/> Investments <input type="checkbox"/> Other (please specify) eg inheritance: _____
Source of funds What is the source of your contributions into your fund? (Your source of funds refers to the origin and the means of transfer of the funds to service your fund.)	<input type="checkbox"/> Employment <input type="checkbox"/> Investments <input type="checkbox"/> Other (please specify) eg sale of real estate, inheritance: _____	<input type="checkbox"/> Employment <input type="checkbox"/> Investments <input type="checkbox"/> Other (please specify) eg sale of real estate, inheritance: _____
If you are residing overseas, you must complete and submit:	<input type="checkbox"/> An Overseas Investor form (aetmyportfolio.com.au) <input type="checkbox"/> Original certified copies of your identification documents.	<input type="checkbox"/> An Overseas Investor form (aetmyportfolio.com.au) <input type="checkbox"/> Original certified copies of your identification documents.

<p>Are you a Politically Exposed Person (PEP)? (Politically Exposed Persons are individuals who occupy a prominent public position or functions in a government body or international organisation, both within and outside Australia. This definition also extends to their immediate family members and close associates.)</p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If you have nominated yourself to be a Politically Exposed Person, you must complete and attach:</p> <p><input type="checkbox"/> a Politically Exposed Persons form (aetmyportfolio.com.au)</p> <p><input type="checkbox"/> original certified copies of your identification documents.</p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If you have nominated yourself to be a Politically Exposed Person, you must complete and attach:</p> <p><input type="checkbox"/> a Politically Exposed Persons form (aetmyportfolio.com.au)</p> <p><input type="checkbox"/> original certified copies of your identification documents.</p>
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*See page 19 for information about collecting TFNs.

	Trustee/director 3	Trustee/director 4
Title (Mr, Mrs, Ms, etc)		
Given name(s)		
Surname		
Date of birth		
TFN*		
Is the trustee/director also applying to be a member of the fund?	<input type="checkbox"/> No <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> Yes
Are you a United States (U.S.) citizen or resident for tax purposes?	<input type="checkbox"/> No <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> Yes
If yes, please provide your U.S. Tax Identification Number (TIN)		
<p>Source of wealth What is the source of your wealth? (Your source of wealth refers to the origin of your financial standing or total net worth eg how you have generated your wealth.)</p>	<p><input type="checkbox"/> Employment <input type="checkbox"/> Investments</p> <p><input type="checkbox"/> Other (please specify) eg inheritance: _____</p>	<p><input type="checkbox"/> Employment <input type="checkbox"/> Investments</p> <p><input type="checkbox"/> Other (please specify) eg inheritance: _____</p>
<p>Source of funds What is the source of your contributions into your fund? (Your source of funds refers to the origin and the means of transfer of the funds to service your fund.)</p>	<p><input type="checkbox"/> Employment <input type="checkbox"/> Investments</p> <p><input type="checkbox"/> Other (please specify) eg sale of real estate, inheritance: _____</p>	<p><input type="checkbox"/> Employment <input type="checkbox"/> Investments</p> <p><input type="checkbox"/> Other (please specify) eg sale of real estate, inheritance: _____</p>
If you are residing overseas, you must complete and submit:	<p><input type="checkbox"/> An Overseas Investor form (aetmyportfolio.com.au)</p> <p><input type="checkbox"/> Original certified copies of your identification documents.</p>	<p><input type="checkbox"/> An Overseas Investor form (aetmyportfolio.com.au)</p> <p><input type="checkbox"/> Original certified copies of your identification documents.</p>
<p>Are you a Politically Exposed Person (PEP)? (Politically Exposed Persons are individuals who occupy a prominent public position or functions in a government body or international organisation, both within and outside Australia. This definition also extends to their immediate family members and close associates.)</p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If you have nominated yourself to be a Politically Exposed Person, you must complete and attach:</p> <p><input type="checkbox"/> a Politically Exposed Persons form (aetmyportfolio.com.au)</p> <p><input type="checkbox"/> original certified copies of your identification documents.</p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If you have nominated yourself to be a Politically Exposed Person, you must complete and attach:</p> <p><input type="checkbox"/> a Politically Exposed Persons form (aetmyportfolio.com.au)</p> <p><input type="checkbox"/> original certified copies of your identification documents.</p>

*See page 2 for information about collecting TFNs.

<p>Important note: For initial contributions equal to or more than \$2 million you must also complete and attach:</p> <p><input type="checkbox"/> a High Threshold Transaction form (aetmyportfolio.com.au)</p> <p><input type="checkbox"/> original certified copies of your identification documents</p>

5. Child member details

Please complete this section if your fund will have minor children (or other persons under a legal disability) as members upon establishment.

Child 1 details

Name

Street address

Suburb

State

Postcode

Contact telephone number

Date of birth

 / /

Name of trustee/director acting on child's behalf

Child 2 details

Name

Street address

Suburb

State

Postcode

Contact telephone number

Date of birth

 / /

Name of trustee/director acting on child's behalf

Part C: Adviser remuneration and declaration

6. Financial adviser remuneration

- AET is required to obtain specific written consent before a fee for financial advice can be deducted from your account. You are not under any obligation to consent to the fee being deducted.
- You may revoke your consent at any time by contacting AET via the options at the end of this form. Once your consent is revoked, no further fees will be deducted from your account however any amounts paid before you revoke your consent will not be automatically refunded.
- Fees should be provided including GST. Please provide your consent below.

Consent end date

Consent end date (required) / /

The consent end date is the date when all ongoing advice fees will end if we have not received your consent to continue. Your consent to an ongoing fee arrangement ends 150 days after the next anniversary date (which is the anniversary of the day you entered into the ongoing fee arrangement with your financial adviser which should be shown in the fee disclosure statement your financial adviser provided to you).

Advice fee – Ongoing (per annum)

Flat fee (dollar amount) \$. pa

This fee is pro-rated equally and deducted monthly in arrears.

AND/OR

A percentage based fee . % pa

Your adviser has estimated a fee of \$ for the 12 months commencing / /

This fee will be based on the value of your account on the last day of the month and deducted monthly in arrears.

Advice Fees Applicant Declaration

- I authorise AET to charge the advice fee(s) selected against my account.
- The amount of any advice fee(s) that are paid to my financial adviser, or their Australian Financial Services Licensee (Licensee) as agreed by me, will be an additional cost to me and charged against my account. An advice fee will not be charged unless I tell AET to do so.
- Any agreed advice fee(s) will be charged to my account and paid in full to the financial adviser, or their Licensee, until I instruct AET to cease payment or when I change my nominated financial adviser.
- I understand the consent for AET to pay the ongoing fees to my adviser will cease on the consent end date, which is 150 days after the next anniversary date for my ongoing fee arrangement.
- I understand I can withdraw my consent or vary the ongoing fee arrangement at any time by notice in writing to my adviser, or by contacting AET ClientFirst.
- I understand I can withdraw my consent at any time before the cost is passed on to me by contacting AET before the fee is paid.

Trustee/director name	
Trustee/director signature	
Date	

Trustee/director name	
Trustee/director signature	
Date	

Trustee/director name	
Trustee/director signature	
Date	

Trustee/director name	
Trustee/director signature	
Date	

7. Financial adviser details

I authorise the following financial adviser (or their nominated staff) to provide investment instructions to AET on my behalf, and until I notify AET in writing otherwise.

Licensee name

AFSL

Name of financial adviser

Telephone

Email address

Street address

Suburb

State

Postcode

8. Financial adviser declaration

In recommending AET's administration service to the fund:

- I declare I am a licensed financial adviser (or authorised representative of a licensee) and that my licence/licensee permits me to provide advice in relation to the fund.
- I confirm that the fees have been fully explained to the applicant.
- I agree to receive: transaction confirmations, quarterly and annual statements via the AET My Portfolio facility.
- I acknowledge that by using facsimile, email or AET My Portfolio, I indemnify AET from any loss or liability that arises from AET not receiving my facsimile or electronic request.
- I acknowledge that there is a risk that facsimile or electronic requests do not arrive at their intended destination from time-to-time and that AET is not responsible for such instances.
- I acknowledge that AET will take action based on any electronic instruction they receive.
- I consent to provide AET access to all proof of identification records for the purposes of this application if requested (pursuant to AML/CTF Rules Part 7.2).
- I confirm that I have conducted the relevant customer identification procedure in line with the obligations under the AML/CTF legislation, and:

I have attached original certified copies of the applicant's identification document(s) with this Application;

Please note: Compulsory where:

- initial contribution is equal to or more than \$2 million or
- the applicant is a Politically Exposed Person or
- the applicant is not residing in Australia

OR

I have completed and signed an FPA/FSC identification form which is attached to this Application (and retained an original certified copy of the applicant's identification document(s));

OR

I have sighted and retained the original certified copies of the applicant's identification documents recorded in the following Record of proof of identity table. Please complete the following table and declaration.

Proof of identity

Record of proof of identity (ID)^	ID document 1	ID document 2
Verified from	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy	<input type="checkbox"/> Original <input type="checkbox"/> Certified copy
Document issuer		
Issue date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>
Document type		
Document number		
Accredited English translation	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted	<input type="checkbox"/> N/A <input type="checkbox"/> Sighted

Financial adviser's signature

X

Date

 / /

Part D: Applicant declaration

9. Applicant declaration and signature

I/we hereby:

- agree to AET establishing a self managed superannuation fund (fund) on my/our behalf
- apply for and consent to AET providing administration services to the fund
- understand that I/we have outsourced the fund's administration but not my/our trustee responsibilities
- acknowledge that the provision of services by AET should not be taken as a financial product or investment advice
- acknowledge that AET is not aware of my/our investment objectives, financial position and particular needs
- authorise AET to complete an electronic application using the information I/we have provided in this application form to register the fund with the ATO as a regulated self managed superannuation fund
- acknowledge that AET will be the authorised contact with the ATO
- declare that I/we have not been convicted of an offence in respect of dishonest conduct in the Commonwealth, or any State, Territory or foreign country
- declare that a civil penalty order has never been made in relation to me/us
- declare that I am/we are not an undischarged bankrupt(s)
- declare that I am/we have not been notified that I am/we are a disqualified person(s) by the Regulator (the Australian Taxation Office or Australian Prudential Regulation Authority)
- nominate the financial adviser listed in part C: point 7 of this application to be authorised to provide investment instructions to, and receive correspondence from, AET on behalf of my/our fund
- understand and agree to AET amending the price for their services, for any reason, provided I/we receive 30 days' notice from AET before such change, I/we understand we do not need to consent to the change for it to apply to the fund
- understand that AET may decline to provide services to my/our fund for any reason. I/we understand that I/we do not need to consent to the termination of services for it to apply to the fund, and
- have correctly indicated my/our U.S. tax residency status during the customer identification process.

10. Privacy

Information (including my/our personal information) provided to AET is used for the purpose of opening a superannuation account and for other related purposes. For the purpose of providing me/us with the products or services I/we have requested, AET may disclose my/our personal information to its related bodies corporate, my/our employer, my/our financial adviser, insurers, professional advisers, businesses that have referred me/us to AET, medical professionals where I/we have applied for insurance cover, banks and other financial institutions or to provide me/us with information about other products or services that might be of interest to me/us. AET is required to collect my/our personal information under the *Superannuation Industry (Supervision) Act 1993* and the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006*. If I/we do not provide all of the requested information, AET may not be able to action my/our request. To verify my/our identity for Know Your Customer (KYC) purposes, AET may also solicit personal information about me/us from reliable identity verification service providers. My/our personal information will be handled in accordance with AET's Privacy Policy, which contains information about how I/we may access or correct my/our personal information and how I/we may complain about a breach of my/our privacy. I/we may request a copy of the privacy policy by contacting AET on 1800 254 180 or by visiting aetlimited.com.au/privacy.

Trustee/director name	
Trustee/director signature	
Date	

Trustee/director name	
Trustee/director signature	
Date	

Trustee/director name	
Trustee/director signature	
Date	

Trustee/director name	
Trustee/director signature	
Date	

Part E: SMSF trustee company registration form

Please complete this part of the application form if you would like AET to help you set up a company to be the corporate trustee.

Section 1: Company details

Proposed company name(s)

1.
2.
3.

Is this name a registered business name owned by the shareholder(s)?

No

Yes, please provide the State or Territory in which it was registered:

(Preferred State or Territory will be SA unless advised)

Full registered office address:

Street address

Suburb

State

Postcode

Does the company occupy the registered office?

No, if no, name of occupier:

Yes

Full principal place of business address:

Street address

Suburb

State

Postcode

Section 2: Details of officer(s) and shareholder(s)

All parties listed below will be appointed a director and issued with one ordinary share.

A company or trust identification form will need to be completed and each director or trustee will also need to complete a separate client identification form. For a copy of the relevant Financial Services Council (FSC) identification form, please visit AET My Portfolio (aetmyportfolio.com.au) or contact AET ClientFirst on 1800 254 180.

Source of wealth and funds

If the company or corporate trustee cannot advise the source of wealth and funds, the directors or trustees must state this in Part B of this application form.

Source of wealth

What is the source of the company's or corporate trustee's wealth? (Source of wealth refers to the origin of the company's or corporate trustee's financial standing or total net worth ie how has the company or corporate trustee generated wealth.)

Employment

Investments

Other (please specify eg inheritance)

Source of funds

What is the source of the company's or corporate trustee's contributions into the account? (Source of funds refers to the origin and the means of transfer of the funds to service the account.)

Employment

Investments

Other (please specify eg sale of real estate, inheritance)

1. Details

First named person will be the primary contact.

Surname

Given name(s)

Street address

Suburb

State

Postcode

Date of birth

Place of birth

Occupation

TFN (if applicable)*

Is the director also applying to be a member of the fund?

No

Yes

2. Details

Surname

Given name(s)

Street address

Suburb

State

Postcode

Date of birth

Place of birth

Occupation

TFN (if applicable)*

Is the director also applying to be a member of the fund?

No

Yes

*See page 19 for information about collecting TFNs.

3. Details

Surname Given name(s)

Street address

Suburb State Postcode

Date of birth / / Place of birth

Occupation TFN (if applicable)* - -

Is the director also applying to be a member of the fund?
 No
 Yes

4. Details

Surname Given name(s)

Street address

Suburb State Postcode

Date of birth / / Place of birth

Occupation TFN (if applicable)* - -

Is the director also applying to be a member of the fund?
 No
 Yes

*See page 19 for information about collecting TFNs.

Section 3: Declaration

I/we the applicant(s), hereby request AET to undertake the process of establishing a corporate trustee for the fund and request AET to make an application for company registration as my/our agent. I/we acknowledge that I am/we are also entering into corporate secretarial services and AET will be listed as the registered agent for such services.

Signed by

Name (please print)

Date

Name (please print)

Date

Name (please print)

Date

Name (please print)

Date

