Investment Allocation Form

Mason Stevens Limited ABN 91 141 447 207 AFSL 351578
Mason Stevens Super ABN 34 422 545 198 RSE Registration Number R1004168
Trustee: Diversa Trustees Limited ABN 49 006 421 638 RSE License Number L0000635 AFSL License 235153

Date	DD / MM / YYYY
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 ($)	Security investment ($)[2]	Initial adviser fee ($)	Ongoing Adviser Fee[3] (% or $ pa)
Managed discretionary accounts[1]				
AUSTRALIAN EQUITIES OPTIONS				
DNR Capital Australian Equities High Conviction Managed Portfolio				
DNR Capital Australian Equities Socially Responsible Managed Portfolio				
DNR Capital Australian Equities Income Managed Portfolio				
Fidelity Australian Elite Opportunities Managed 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				
Watershed Australian Shares Portfolio				
Watershed Emerging Leaders Portfolio				

[1] 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.
[2] Please complete the relevant in specie transfer form.
[3] Excludes 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.

	Cash investment ($)	Security investment ($)[2]	Initial adviser fee ($)	Ongoing Adviser Fee[3] (% or $ pa)
GLOBAL EQUITIES OPTIONS				
AZ Investments High Conviction Global Equities Managed Portfolio				
Franklin Concentrated Global Equity ex-Australia Managed Portfolio				
Loftus Peak Global Change Managed Portfolio				
Mason Stevens Concentrated Global Equity Managed Portfolio				
Mason Stevens Global Technology Managed Portfolio				
Stalbridge Capital Global Opportunity Managed Portfolio – Retail				
Stalbridge Capital Global Opportunity Managed Portfolio – Wholesale				
Swell Global Managed Portfolio				
Watershed International Shares Portfolio				
Watershed International ETF Portfolio				
MULTI-ASSET OPTIONS				
Dynamic Asset Consulting Long-Term Wealth Builder Portfolio				
Dynamic Asset Consulting Short-Term Portfolio				
Dynamic Asset Consulting Mid-Term Portfolio				
iShares Enhanced Strategic Conservative Managed Portfolio				
iShares Enhanced Strategic Moderate Managed Portfolio				
iShares Enhanced Strategic Balanced Managed Portfolio				
iShares Enhanced Strategic Growth Managed Portfolio				
iShares Enhanced Strategic Aggressive Managed Portfolio				
iShares Enhanced Strategic All Growth Managed Portfolio				
Mason Stevens ETF Moderate Managed Portfolio				
Mason Stevens ETF Balanced Managed Portfolio				
Mason Stevens ETF Growth Managed Portfolio				
Mason Stevens Dynamic ETF Conservative Investment Option				
Mason Stevens Dynamic ETF Balanced Investment Option				
Mason Stevens Dynamic ETF Growth Investment Option				
Valor Conservative Investment Option				
Valor Balanced Investment Option				
Valor Assertive Investment Option				

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	Cash investment ($)	Security investment ($)[2]	Initial adviser fee ($)	Ongoing Adviser Fee[3] (% or $ pa)
MULTI-ASSET OPTIONS CONTINUED				
Valor Growth Investment Option				
Watershed Conservative Investment Option				
Watershed Balanced Investment Option				
Watershed Growth Investment Option				
Watershed High Growth Investment Option				
Watershed Alternatives Portfolio				
FIXED INTEREST OPTIONS				
Dynamic Asset Consulting Long-Term Wealth Protector Portfolio				
Dynamic Asset Consulting Cash Plus Portfolio				
Mason Stevens Wholesale Fixed Income Managed Portfolio				
Mason Stevens Australian Fixed Income Managed Portfolio				
Watershed Income Portfolio				
Mason Stevens Wholesale Cash Enhanced Managed Portfolio				
Mason Stevens Cash Enhanced Managed Portfolio				
Other portfolios				
Self-Directed Portfolio				
Total	**$** 0.00	**$** 0.00		

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[2] Please complete the relevant in specie transfer form.
[3] Excludes 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** ☐ **Individual 2** ☐ **Trustee 2** ☐ **Director 2**

Name

Signature

Signature

Capacity

Capacity

Date

DD / MM / YYYY

Date

DD / MM / YYYY

☐ **Individual 3** ☐ **Trustee 3** ☐ **Director 3** ☐ **Individual 4** ☐ **Trustee 4** ☐ **Director 4**

Name

Signature

Signature

Capacity

Capacity

Date

DD / MM / YYYY

Date

DD / MM / YYYY

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.

n. 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.

t. If you are adding advice fees on your Mason Stevens Super account:

   » The superannuation benefits that you are entitled to in your Mason Stevens Super account may be reduced as a result of the advice fees being paid to your adviser. Ongoing advice fees you instruct us to pay will be deducted from the Self-Directed Portfolio of your Mason Stevens Super account, for the next 12 months from the date we receive this form.

   » Your consent to pay these fees to your adviser is effective from the date that we receive the completed and signed form, and will cease 150 days after the next anniversary date. We will cease paying the fees to your adviser after this period unless you renew your instructions by completing and submitting this form to us. You can withdraw your consent to pay ongoing advice fees at any time by providing us with written instructions.