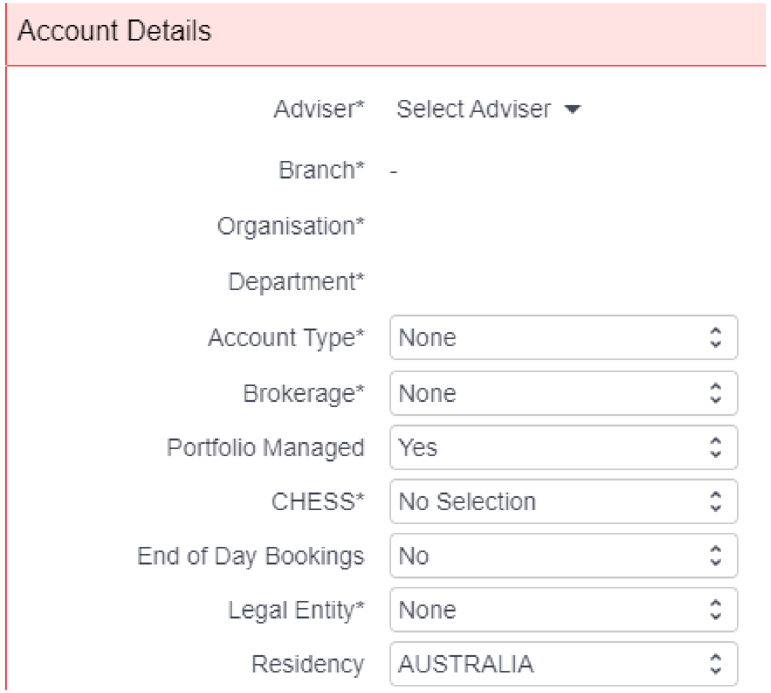
Account Opening

Account Opening *- Account Type & Settings*

FinClear



Adviser – Select your Adviser Code (Branch, Org and Department will default)

Account Type – Private Client (for all non-Institutional Accounts)

Brokerage – Select applicable Brokerage to the account that you are setting up. If it is not on the list, please select another rate then let us know. We will add any codes that you require in the background to appear on the dropdown list for future accounts.

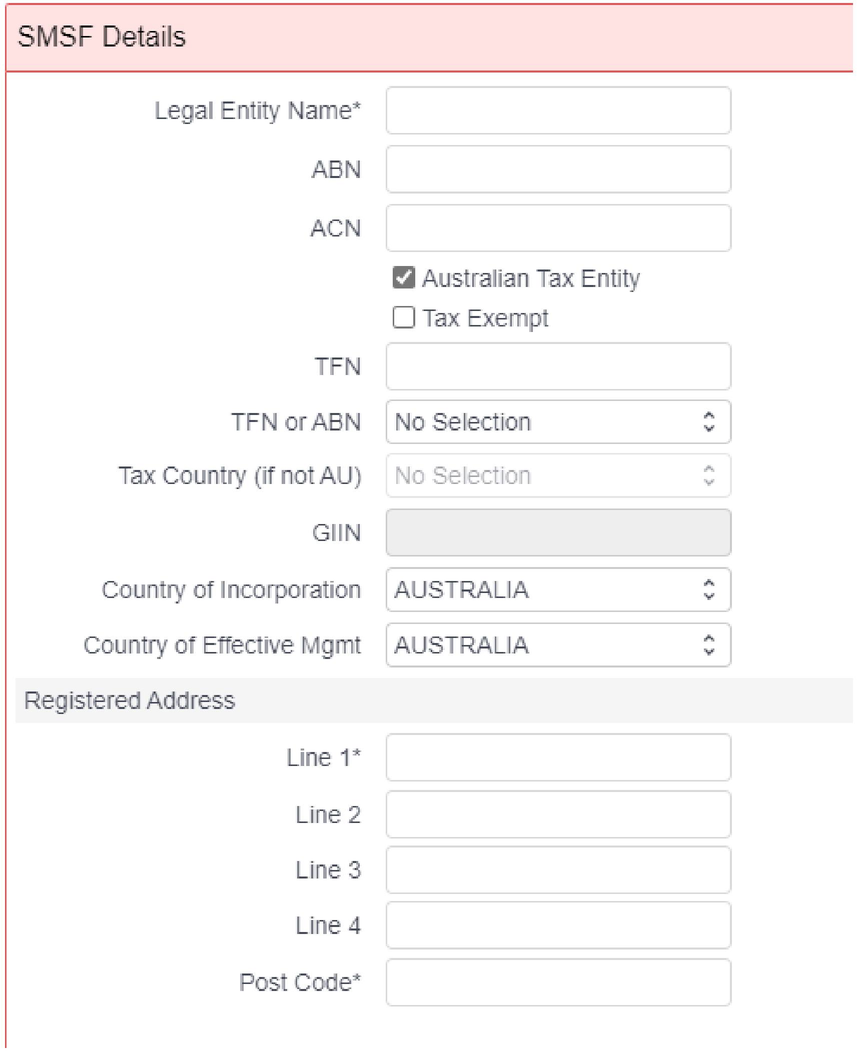
CHESS – Select from New CHESS HIN, DVP, or Non-CHESS (for all HIN Transfers select non-CHESS).

EOD Bookings - Choose whether your client wants to receive intra-day contract notes or end of day contract notes.

Legal Entity – Please select relevant Account Type (this will decide the fields required further on in the process)

Account Opening – *SMSF Details*

FinClear



SMSF Details

Legal Entity Name*

ABN

ACN

☑ Australian Tax Entity

☐ Tax Exempt

TFN

TFN or ABN: No Selection

Tax Country (if not AU): No Selection

GIIN

Country of Incorporation: AUSTRALIA

Country of Effective Mgmt: AUSTRALIA

Registered Address

Line 1*

Line 2

Line 3

Line 4

Post Code*

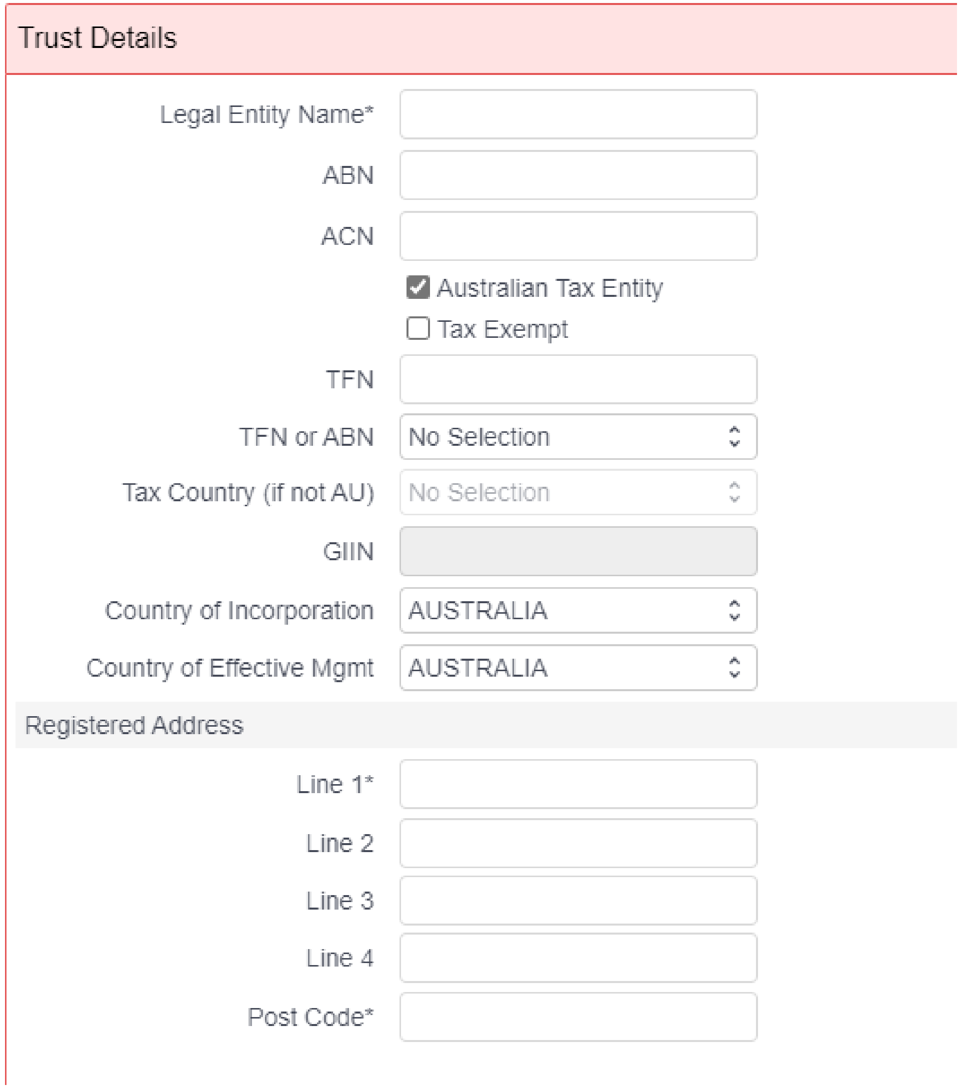
Legal Entity – SMSF

Legal Entity Name, ABN, Contact Name & Registered Address – Mandatory

TFN – Whilst you are not obliged to supply a TFN to registries, if we do not they may take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled.

Account Opening – *Trust Details*

FinClear


Trust Details

Legal Entity Name*

ABN

ACN

☑ Australian Tax Entity

☐ Tax Exempt

TFN

TFN or ABN: No Selection

Tax Country (if not AU): No Selection

GIIN

Country of Incorporation: AUSTRALIA

Country of Effective Mgmt: AUSTRALIA

Registered Address

Line 1*

Line 2

Line 3

Line 4

Post Code*

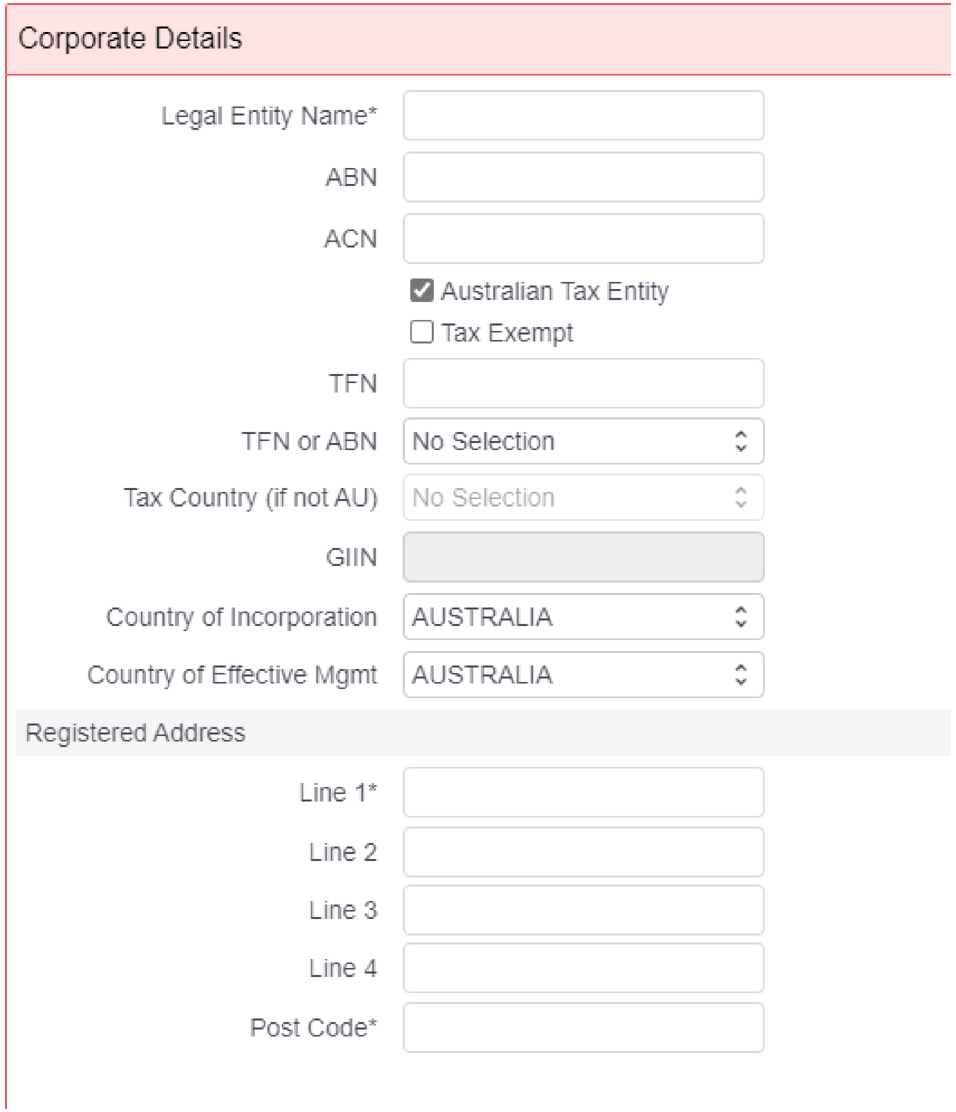
Legal Entity – Trust

Legal Entity Name, ABN & Registered Address – Mandatory

TFN – Whilst you are not obliged to supply a TFN to registries, if we do not, they may take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled

Account Opening - *Corporate Details*

FinClear



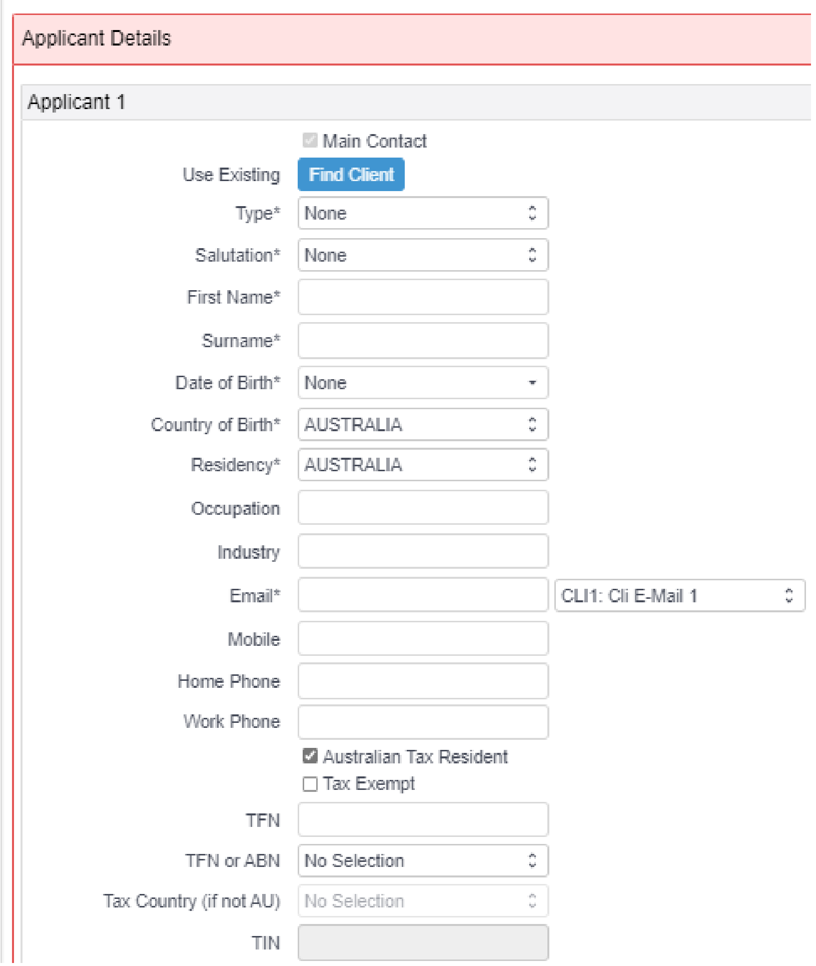
Legal Entity - Company

Legal Entity Name, ABN, Contact Name & Registered Address – Mandatory

TFN –Whilst you are not obliged to supply a TFN to registries, if we do not they may take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled

Account Opening – *Applicant Details*

FinClear



Legal Entity –Individual/Joint

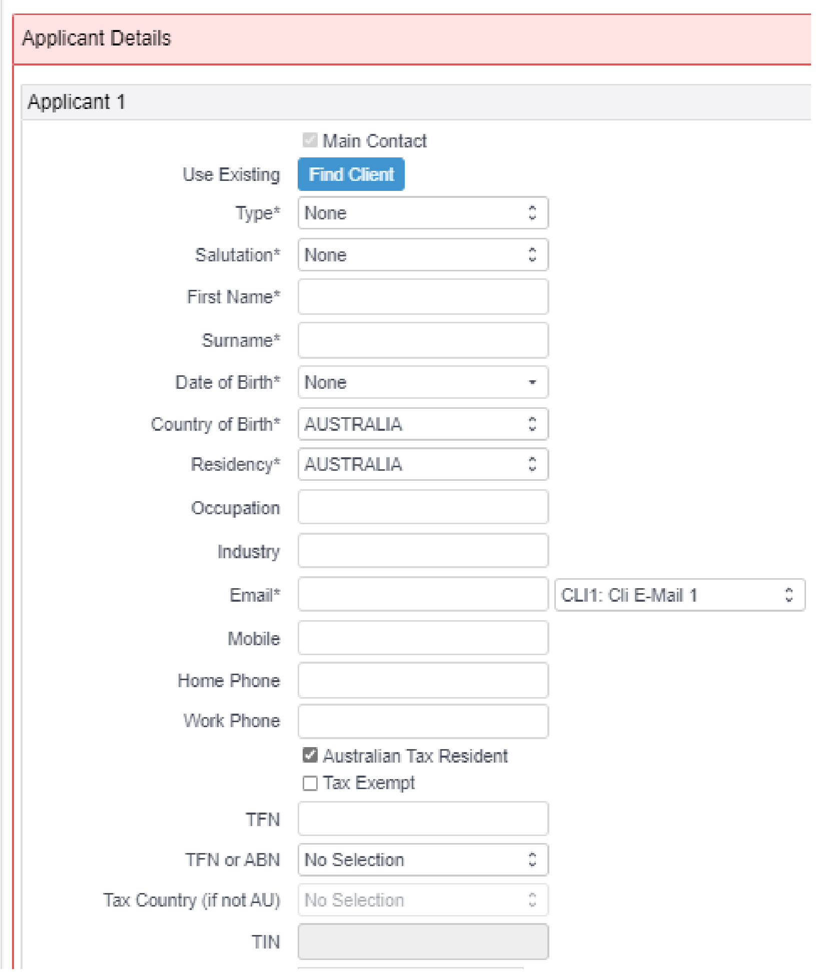
To be used for an individual, joint applicants (2 or 3 persons) or in trust for a minor (under 18 years old)

Salutation, First Name(s), Surname, Date of Birth, Street Address & Postal Address – Mandatory

TFN –Whilst you are not obliged to supply a TFN to registries, if we do not, they may take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled

E-Mail – Please provide an e-mail address for at least one applicant for each account. By providing your email address you authorise Trade Confirmations to be sent to this address.

Account Opening – *Applicant Details*



Legal Entity –SMSF/Trust

To be used for a Self-Managed Super Fund or all other Trusts

<u>Applicant Type – Trustee (where trustees are individuals)</u>

Salutation, First Name(s), Surname, Date of Birth, Street Address & Postal Address – Mandatory

<u>Applicant Type – Corporation (where trustee is a company)</u>

Organisation Name, ABN, Street Address & Postal Address – Mandatory

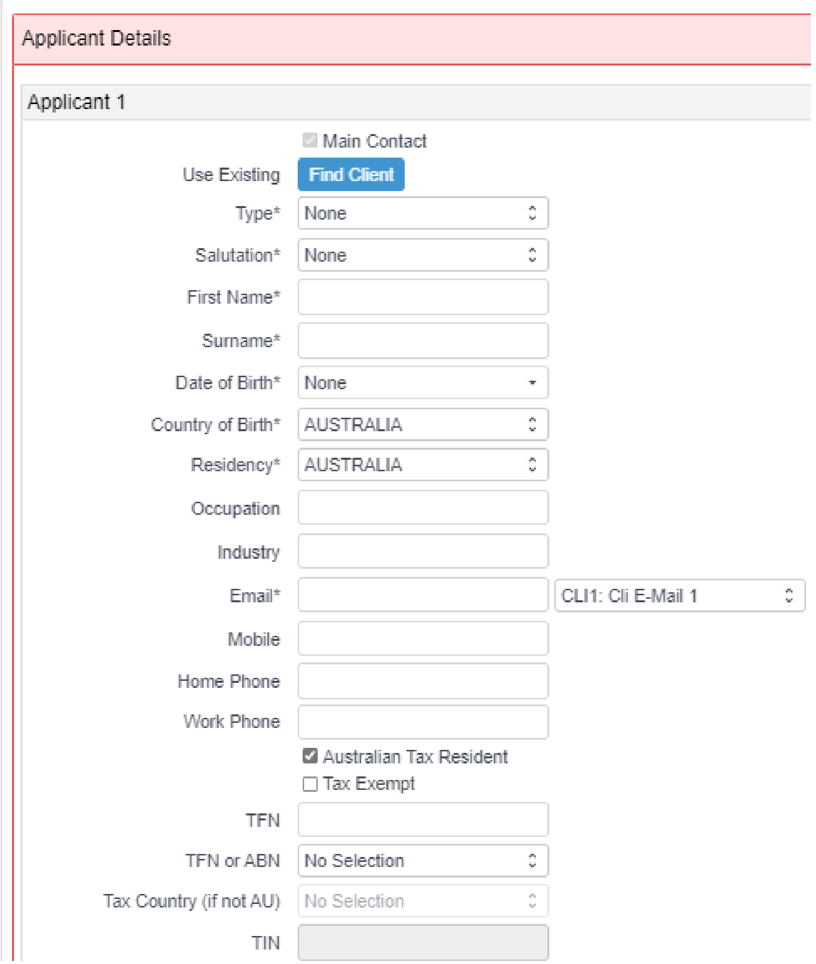
<u>Applicant Type – Director (where trustee is a company)</u>

Organisation Name, ABN, Street Address & Postal Address – Mandatory

TFN –Whilst you are not obliged to supply a TFN to registries, if we do not, they may take tax at the highest marginal rate from any dividends, distributions, interest and payments to which you are entitled

E-Mail – Please provide an a-mail address for at least one applicant for each account, by providing your email address you authorise trade Confirmations to be sent to this address.

Account Opening – *Applicant Details*

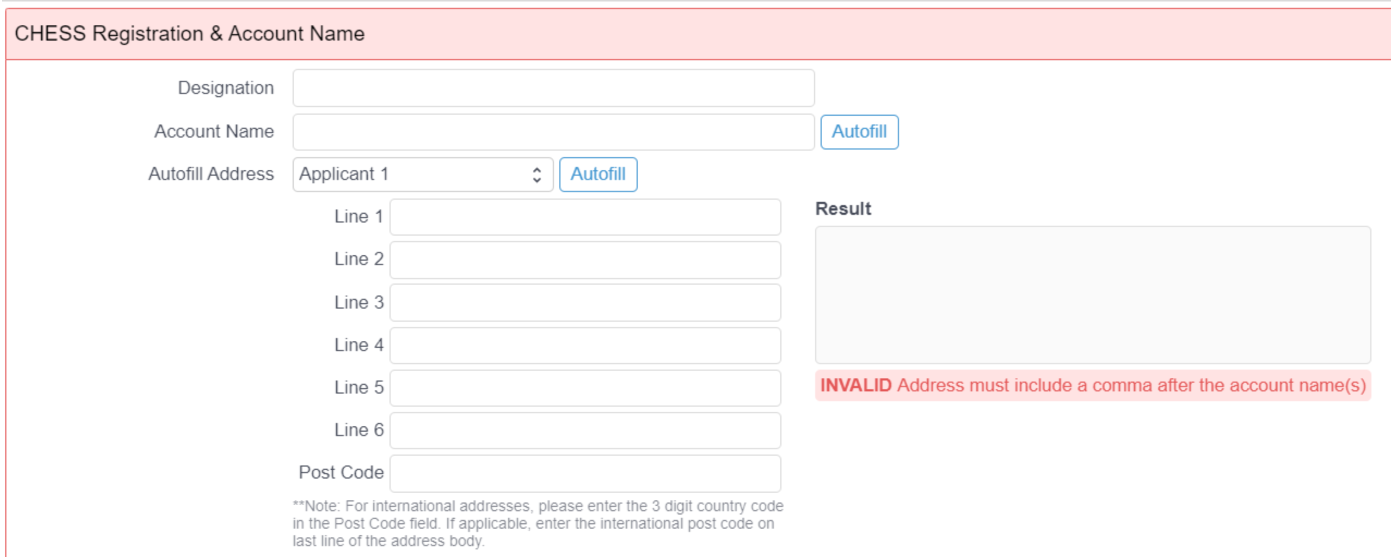


Legal Entity - Company

Applicant Type – Director

Salutation, First Name(s), Surname, Date of Birth, Street Address & Postal Address –Mandatory

Account Opening - *CHESS Registration & Account Name*



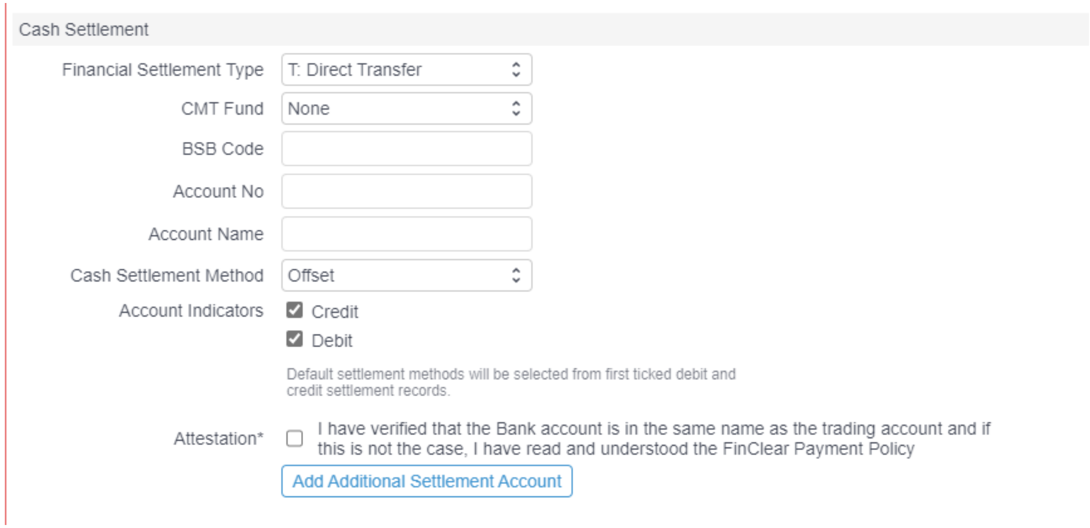
Please enter a designation for all accounts that require one in their CHESS Registration Address.

Account Name – Autofill will correctly populate the Trading Account Name for Individual, Joint, Company and SMSF/Trusts accounts with Individual Trustees. **SMSF/Trust accounts with Corporate Trustees will need to be manually amended**

CHESS Address - Autofill will correctly populate the CHESS Registration Address for Individual, Joint, Company and SMSF/Trusts accounts with Individual Trustees. **SMSF/Trust accounts with Corporate Trustees will need to be manually amended.**

Validation has been built in that will not let you proceed if the address does not pass CHESS regulations.

Account Opening – *Cash Settlement Details*


Cash Settlement

Financial Settlement Type: T: Direct Transfer
CMT Fund: None
BSB Code
Account No
Account Name
Cash Settlement Method: Offset
Account Indicators: Credit, Debit
Default settlement methods will be selected from first ticked debit and credit settlement records.
Attestation* I have verified that the Bank account is in the same name as the trading account and if this is not the case, I have read and understood the FinClear Payment Policy
Add Additional Settlement Account

Financial Settlement Type – For standard accounts select BPAY or Direct Transfer.

CMT Fund – If available, select account provider from drop down list. If not available, select none.

BSB Code, Account No & Account Name - Mandatory for Direct Transfer.

Cash Settlement Method –Defaults to “Offset”, can change if you wish.

Line by line – FinClear debit/credit the linked bank account on a line-by-line basis, for the full value.

Offset – Available credits will be offset with debits, and the net settlement value debited/credited from the default linked bank account, where one exists.

Same Day Netting – Available credits will be offset with outstanding debits up until the same settlement date of the sales, future dated debits will not be include in the cash contra (offset) and subsequent settlement of that net value.

Account Indicators:

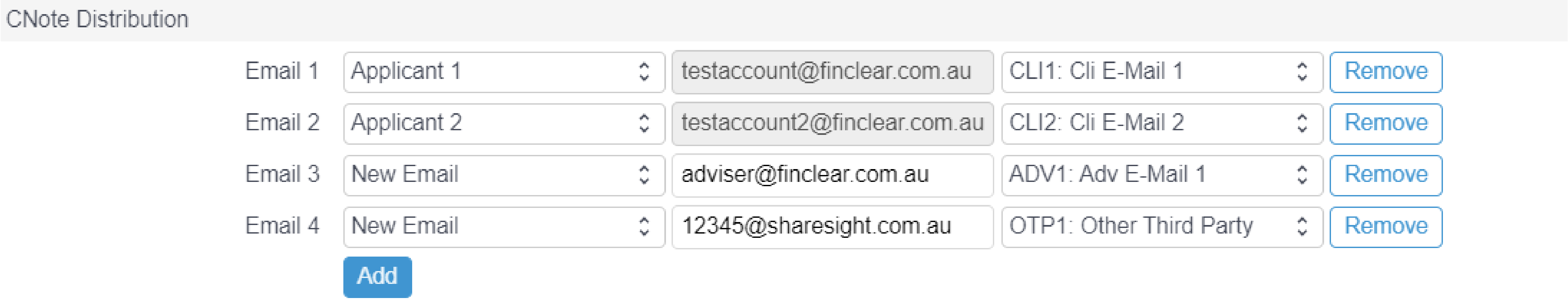
Debit –Tick if client has given authority for us to debit their account for trades, this will be the default account for debits.
Credit -Tick if this is to be the default account to be credited for trades

Account Opening – *CNote Distribution*

FinClear

Add all e-mail addresses that you would like to receive contract note copies.

If you have already entered addresses for client in the Applicant sections, you can select the E-Mail Type and it will automatically populate the address. To add further addresses, click “Add”


CNote Distribution

Email 1	Applicant 1	testaccount@finclear.com.au	CLI1: Cli E-Mail 1	Remove
Email 2	Applicant 2	testaccount2@finclear.com.au	CLI2: Cli E-Mail 2	Remove
Email 3	New Email	adviser@finclear.com.au	ADV1: Adv E-Mail 1	Remove
Email 4	New Email	12345@sharesight.com.au	OTP1: Other Third Party	Remove

Add

Email types:

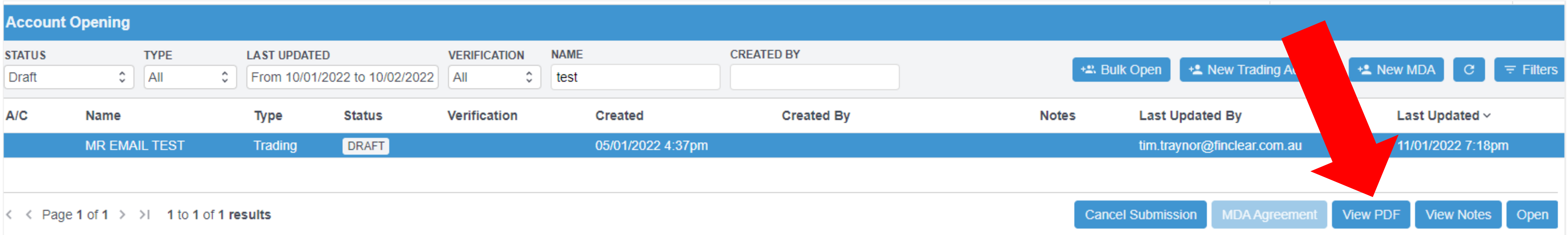
CLI–End Clients, **ADV**–Advisers/Planners, **PRA**–Praemium, **BGL**–BGL, **ML**–Margin Lender, **WRA**–Wrap Provider, **OTP**–Other Third Party, **XPL** –X-Plan

Submission of completed application

How do I complete my application?

Once all details have been entered and every section header is green, you can now “Save as Draft” which will take you back to the Account Opening dashboard screen.

Once there, click “View PDF” to open the application as a writeable PDF. Complete the rest of the mandatory data (AML/KYC details etc.) and send to the client to sign.



How do I finalise the submission?

Once you have received the signed paperwork, please open the draft application in TC Ops and **“Submit for Review”.** Note we do not need to see the completed and signed form, however please keep on record at your end as we may need to audit these from time to time.

In place of signed paperwork, you will be prompted with an attestation that you are a duly authorised person & confirm a signature has been obtained and the client has agreed to our terms.