PART 5: CLIENT ACKNOWLEDGEMENT

1. Client acknowledgement and declaration

I/We acknowledge that:

The information in this 'All About You Questionnaire' is to, the best of my/our knowledge, an accurate and complete record of the information sought.

My/Our adviser has warned us that if incomplete or limited financial information has been provided during the consultation process, then there is a possibility that any recommendation given to me/us may not be fully appropriate to my/our individual goals and needs.

My/Our adviser has made me/us aware that any tools, calculators or worksheets used as illustrative tools by my financial adviser are for the primary purpose of assisting us to explore various strategies during the financial planning process. I/We understand that representations made during these fact-finding sessions are not to be relied or acted upon. I/We understand that when my/our personal advice is finalised and ready to be implemented it will be given to me/us in a written Statement of Advice.

I/We confirm that I/we have had the Financial Services Guide (FSG) Part 1 Version ______ and Part 2 Version ______ shown and explained to me/us. In particular, my/our adviser has clarified:

- Who the Licensee is that is authorising my adviser services;
- Details of their qualifications;
- The products and services they are authorised to provide advice on;
- Their remuneration arrangements and other benefits received;
- Any associations and referral arrangements that may be in place;
- How personal information is maintained and how it is kept secure; and
- The complaints handling process.

My/Our adviser has asked me/us about any borrowed funds that I am/we are seeking advice on. I/We understand that I/we will not be charged an asset based fee on any borrowed funds that I/we seek advice on.

Client(s) to tick the relevant check boxes:

My/Our preference for being provided with a copy of FSG Part 1 and Part 2 both now and in the future is to receive it by:

☐ Hand – given at my/our meeting(s);

☐ Mail – sent to me/us in hard copy;

☐ Fax;

☐ Email – sent to me/us as a PDF document; or

☐ Website – I/we will follow the links you have provided to your website to obtain a copy(s).

☐ I/We consent to receiving by online delivery from my financial adviser certain advice or product documents. Online delivery may include text in an email or an attachment to an email, an email with a hyperlink to the document or a written notice that may be paper or electronic with a reference to a website address where the document can be found.

Advice documents may include though are not limited to Statements of Advice, Records of Advice or Fee Disclosure Statements. Product documents generally include Product Disclosure Statements or other product materials. In some circumstances, I/we may also receive other communications by online delivery, such as confirmation of transactions, periodic statements or ongoing disclosures of significant information or material events

PART 5: CLIENT ACKNOWLEDGEMENT

2. Terms of Engagement

You are seeking advice in regard to:

Our Financial Services Guide provides general information about our professional fees in regards to this engagement.

☐ Our fee for the preparation of an advice document and the services agreed upon within these Terms will be $______ including GST.

Alternatively

☐ Our fee for the preparation of an advice document and the services agreed upon within these Terms will be calculated on a time basis of $______ per hour.

We estimate that it may take up to ____ hours to provide the above services, resulting in an approximate cost of $______ including GST.

Where due to unforeseen circumstances, the fee is, or is likely to be, greater than anticipated or expected, we will discuss the matter with you as soon as possible, but always prior to billing.

Warning

During the advice process we may discuss and consider various advice areas and explore a variety of options and strategies with you. We have warned you that it is imperative that you do not act on any of these discussions or presentations until after we have finalised and formalised our recommendations and presented these to you in a written Statement of Advice.

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3. Privacy Collection Statement

Privacy policy

We have explained to you that as a member of the Commonwealth Bank Group of companies (the Group), Count Financial Limited has adopted the principles set out in the Privacy Act as part of their continuing commitment to client service and the maintenance of client confidentiality.

Should you require further details you have elected to receive a copy of the Group's Privacy Policy from us by:

☐ Hand – given at our meeting;

☐ Mail – sent to me/us in hard copy;

☐ Fax;

☐ Email – sent to me/us as a PDF document; or

☐ Website – I am/we are aware that I/we can obtain the Privacy Policy from the Commonwealth Bank's Security and Privacy page of their website- https://www.commbank.com.au/security-privacy/general-security/privacy.html

Collection of personal information

We collect personal information about you when you complete the All About You Questionnaire, request or use our products or services, phone us or visit our websites. We also collect information about you from others, such as service providers, agents, advisers, brokers, employers, family members and accountants. We collect sensitive information, such as health and lifestyle information, usually for insurance purposes. If we need to obtain this sensitive information from you, we will ask for your consent.

PART 5: CLIENT ACKNOWLEDGEMENT

Use of personal information

We collect, use and exchange your information so that we can:

- Establish your identity and assess applications for products and services;
- Price, design and administer our services;
- Manage our relationship with you;
- Manage our risks, and help identify and investigate illegal activity;
- Contact you if we need to;
- Comply with our legal obligations and assist government and law enforcement agencies;
- Identify and tell you about other products and or services that may be of interest to you.

Exchange of information

We exchange information with other members of the Group so that the Group can have an integrated approach to its customers. Group members can use that information in the same way we can. We may disclose information to third parties as permitted by law or for the purposes mentioned above. Third parties include service providers, where we outsource activities (such as marketing and IT support), persons acting on your behalf, other financial institutions (for example so that we can process a claim for mistaken payment), auditors, insurers, employers and government agencies.

- You understand that our business also offers the following services and agree that in the event you require any of these additional services we may share your information with these other parts of our business:
- Accounting services
- Mortgage broking services
- Other ……...

Sending information overseas

- Please be advised that in addition to the countries listed in the Group's Privacy Policy we may send your personal information overseas to ………………………… for the purpose of ……………………………………………………………...................……
  We have arranged for this country to be included in the Group’s Privacy Policy.

Access and making a complaint

To access your personal information, please contact your adviser. If your personal information is incorrect, we can correct it. The Group’s Privacy Policy will assist you in ascertaining how to complain, how your complaint is dealt with and provide further information on our personal information handling practices.

- I/We agree to my/our personal information being collected and used (including shared with related companies of Count Financial Limited) in accordance with the Commonwealth Bank’s Privacy Policy Statement.

PART 5: CLIENT ACKNOWLEDGEMENT

4. Tax File Number (TFN) storage consent

I/We permit Count Financial Limited (Count) and its Authorised Representative to retain my/our TFN on file, subject to the following conditions:

- Count agrees to only use the TFN for purposes approved by law. This includes finding or identifying my/our superannuation benefits where other information is insufficient, calculating tax on any benefit I/we may be entitled to, for superannuation surcharge purposes and providing information to the Commissioner of Taxation. Count is also permitted to retain my/our TFN to quote on applications for future investments that I/we may make. These purposes may change in the future.
- In addition to the Commissioner of Taxation, the TFN will only be disclosed to the Trustee and Fund Managers that act on my/our behalf, and any other Government authority that requires my/our TFN.
- I/We understand that I/we are under no obligation to provide my/our TFN and declining to quote my/our TFN is not an offence.
- If I/we do not provide my/our TFN, I/we may pay more tax on my/our benefits than I/we have to and I/we also may have to pay the superannuation surcharge. It may also be more difficult to administer my/our benefits if you do not have my/our current address, if I/we wish to amalgamate my/our superannuation accounts, or if I/we have insufficient identification to claim or inquire about my/our benefits. I/We may pay more tax on dividends and distributions from investments that I/we hold. These consequences may change in the future.
- Count will only collect and use my/our TFN in accordance with the Commonwealth Bank Privacy Policy. It will also comply with the conditions of the Tax Administration Act.
- Count agrees to implement the necessary security to ensure that my/our TFN is not disclosed to any party not noted above; or misused by anyone.
- Count agrees to remove and destroy all records of my/our TFN should I/we instruct them to.

	TFN
Client	
Partner	
SMSF	
Company	
Trust	

This All About You Questionnaire was completed with information gathered during my/our meeting and from subsequent conversations.

Client here means in my/our capacity as ;
- Individuals
- Member/trustee of SMSF
- Director
- Authorised signatory
- Trustees
- Beneficiaries of the Trust

PART 5: CLIENT ACKNOWLEDGEMENT

Client acknowledgement

Client name

Client signature

_ _/_ _/_ _ _ _

Date acknowledged

Partner name

Partner signature

_ _/_ _/_ _ _ _

Date acknowledged

Adviser acknowledgement

Adviser name

Adviser signature

_ _/_ _/_ _ _ _

Date acknowledged