



## Adviser Terms of Service

This document applies to accounts opened by licensed financial advisers on behalf of their client.

As an adviser you must comply with Applicable Laws in relation to any financial services you provide in relation to your client, including dealing in, advising on, and the provision of administration services.

You must not, by act or omission, do anything which would put SIX in breach of Applicable Laws.

As an adviser you confirm you are a reporting entity (or are a representative of a reporting entity) as that term is defined in the AML/CTF Act and the reporting entity has measures in place to comply with its obligations under the AML/CTF Act. You agree to provide details of your AFSL and registration details to SIX to verify you are authorised to act as an adviser.

As an adviser, you confirm you have entered into an agreement with your client that legally states you have authority to act on their behalf including activities such as opening a trading account and trading through an online broker such as SIX.

The following accounts can be opened with SIX by advisers on behalf of their clients:

- Individual accounts
- Trust accounts
- SMSF accounts
- Company accounts
- Joint accounts

You must follow our account opening process and provide all information accurately and truthfully to the best of your knowledge.

To open an account, you will need to:

- Complete an application form
- Agree to the terms of service, privacy policy and financial services guide
- Agree to the adviser terms of service
- Provide us whatever information we reasonably request including information to verify your client's identity
- Agree to the terms of our trading partners

We may, at our absolute discretion, decline your application for an account.



By opening an account on behalf of your client and trading with SIX, you confirm that our terms of service, privacy policy and financial services guide have been made available to the client including information about brokerage costs through SIX. As an adviser you confirm that your client has confirmed you are able to share information with SIX to verify their identity using third party records.

You agree to receive marketing and other communications from SIX about our product as a condition of your access to and to be registered with us. You agree that clients are able to request information about their account, including being granted access to their online account.

You agree that any fees or costs incurred for additional services or failed settlements will be passed on to you, the adviser, for payment. The below sets out what these include.

Fee type	Fee (inc GST)
Manual Booking	\$11.00
Booking correction/rebooking	\$27.50
Non STP Contract	\$33.00
Initial Settlement Fail Fee	\$275.00 (min)
Subsequent day settlement fail fee	\$110.00 (min)
Direct Debit dishonour	\$55.00
Aged Debtor (fail fee charge per day)	\$55.00

As an adviser, if your agreement with the client is changed or revoked and you no longer have authority to act on their behalf, it is your responsibility to notify SIX.