

Licensee Registration Application

31 October 2023

This form may be used by a Licensee (**you, your**) to apply to HUB24 Custodial Services Ltd (ABN 94 073 633 664, AFSL 239 122) (**HUB24, we, us, our**) for access to the HUB24 Platform via the AdviserHUB portal and to register as a Licensee that is permitted to provide Services in connection with one or more Relevant Products and the SMSF Establishment Service to Investors.

By signing this registration form, the Licensee agrees that, from the date on which HUB24 notifies the Licensee in writing that its registration application has been accepted, the Licensee is bound by:

- the HUB24 Platform Terms and Conditions, as amended from time to time (**Licensee Terms**) and acknowledges these have been provided to the Licensee at the same time as this registration application. The current version of the Terms can be accessed on AdviserHUB, at www.hub24.com.au/licensee or obtained by calling: 1300 854 994
- any Special Conditions that may be agreed to by HUB24;
- any Product Fee Schedule agreed to by HUB24; and
- any terms and conditions set out in this registration form, (together the **Licensee Agreement**).

Each Adviser that the Licensee nominates to have access to the HUB24 Platform, to provide Services and to distribute the SMSF Service on the Licensee's behalf must complete an Adviser Registration Application (available on AdviserHUB, at www.hub24.com.au/licensee or by calling: 1300 854 994).

Any other person that the Licensee nominates to have access to the HUB24 Platform, to provide Services and to distribute the SMSF Service on the Licensee's behalf must complete an Approved User Registration Application (available on AdviserHUB, at www.hub24.com.au/licensee or by calling: 1300 854 994).

Capitalised terms used in this registration form which are not defined in this registration form have the meaning given to them in the Licensee Terms.

Documents to be provided with this registration form are as follows:

- a full copy of the Licensee's Australian Financial Services Licence (**AFSL**); and

Note: a copy of only the AFSL authorisations is not sufficient.

- a copy of the certificate of currency in relation to the Licensee's professional indemnity insurance.

Note: Under the terms of the Licensee Agreement, a Licensee is required to evidence that the Licensee meets ASIC's professional indemnity insurance requirements as set out in Regulatory Guide RG 126 Compensation and Insurance arrangements for AFS licensees. Until we are satisfied that this is the case, we are not able to process a Licensee's registration application.

Please also complete:

- **Schedule 1**, Authorised Signatories of the Licensee
- **Schedule 2**, HUB24 Reliance On Adviser Customer Identification – Questionnaire.

Note: Completion of this Questionnaire is mandatory as we rely on the customer identification and verification procedures of Licensees and their Advisers to meet our customer identification and verification requirements under the AML/CTF Act. We can only do so where (amongst other things) we have reasonable grounds to believe that it is appropriate to do so.

Once completed and signed, please send this registration form and the requested supporting documents to us at: admin@hub24.com.au

Important Notes:

- Unless otherwise stated, all fields in this registration form (including the Schedules) must be completed and the requested supporting documents must be provided. If all applicable fields are not completed or a document is not provided, we may not be able to process the Licensee's registration application or there may be delays in doing so.
- HUB24 may accept or reject the Licensee's registration application in its absolute discretion and without giving reasons.

Licensee Registration Application

Section 1 Licensee Details

Licensee name

Business name (where applicable)

Street address

Suburb

State

Postcode

Email

AFS Licence Number

ABN

Section 2 Primary business contact

Given name(s)

Surname

Phone number

Mobile number

Email address

Position

Section 2 Primary compliance contact

Given name(s)

Surname

Phone number

Mobile number

Email address

Position

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Section 3 HUB24 relationship manager

Given name(s)

Surname

Note: HUB24 relationship manager details are to be provided where known.

Section 4 Licensee bank account details

Bank

BSB

Account name

Account number

Note: This bank account must be a Licensee bank account as adviser fees will only be paid (in accordance with the Terms) to the Licensee.

Section 5 Client type

Client type

Wholesale

☐ Yes ☐ No

Retail

☐ Yes ☐ No

Section 6 Relevant products

Product

HUB24 Super

☐ Yes ☐ No

HUB24 Invest (includes HUB24 SMSF Access)

☐ Yes ☐ No

Notes:

- The references to HUB24 Super and HUB24 Invest include any branded or co-branded versions of these products.
- A client who invests in HUB24 Super is a "retail client".

Section 7 Licensee declarations

For the purpose of this registration application, the Licensee makes the following declarations:

Declaration	Yes	No	If 'No', please provide a brief explanation
1 The Licensee has read and understood the Licensee Agreement (including the Licensee Terms) and believes that it would or would be able to comply with the obligations of a Licensee under the Licensee Agreement if they applied at the date it signed this registration form.	<input type="checkbox"/>	<input type="checkbox"/>	
2 The Licensee and its Adviser(s) will be providing personal financial product advice to their clients in respect of the Relevant Products and will not operate under a "general financial product advice only" or "execution only" advice model.	<input type="checkbox"/>	<input type="checkbox"/>	
3 No adverse action or investigation has been taken against the Licensee or any Adviser it proposes to nominate to have access to the HUB24 Platform during the last 3 years by any applicable Regulator (including ASIC, AUSTRAC and OAIC).	<input type="checkbox"/>	<input type="checkbox"/>	
4 The persons identified in Schedule 1 as Authorised Persons are authorised to sign documents on behalf of the Licensee.	<input type="checkbox"/>	<input type="checkbox"/>	
5 All details in this registration form (including the Schedules) are true and correct.	<input type="checkbox"/>	<input type="checkbox"/>	

Licensee Registration Application

Section 8 Signing

By signing this registration form, the Licensee agrees that from the date on which HUB24 notifies the Licensee in writing that its registration application has been accepted, it is bound by the terms of the Licensee Agreement.

HUB24 and the Licensee agree that the Licensee may sign electronically a soft copy of this registration form and bind itself accordingly. This will satisfy any statutory or other requirements for this document to be in writing and signed by the Licensee. HUB24 and the Licensee intend that:

- any soft copy so signed will constitute an executed original counterpart, and any print-out of the copy with the relevant signatures appearing will also constitute an executed original counterpart; and
- where a party to the Licensee Agreement prints out this document after all parties that are signing electronically have done so, the first print-out by that party after all signatories who are signing electronically have done so will also be an executed original counterpart of this document.

Signatory 1 – signed for and on behalf of the Licensee
Select applicable option <input type="checkbox"/> Director <input type="checkbox"/> Authorised Person <input type="checkbox"/> Individual
Print name
Position
Signature
Date

Signatory 2 – signed for and on behalf of the Licensee
Select applicable option <input type="checkbox"/> Director <input type="checkbox"/> Authorised Person <input type="checkbox"/> Individual
Print name
Position
Signature
Date

Notes:

This declaration must be signed in one of the following manners:

1. If the Licensee is a company, by:
 - two directors; or
 - a director and a company secretary; or
 - the sole director/ sole company secretary; or
 - a person duly authorised to bind the company (evidence of the person's authority to bind the company must be provided to HUB24's satisfaction when this registration application is submitted).
 2. If the Licensee is an individual, by that individual.
- By signing above, each signatory:
 - i. consents to electronic execution of this document (in whole or in part);
 - ii. represents that they hold the position and are the person named with respect to their execution;

- iii. confirms that their signature appearing in this document, including any such print-out (irrespective of which party printed it), is their personal signature authenticating it, which has been authorised by them; and
- iv. authorises any other signatory to produce a copy of this document bearing his or her signature for the purpose of signing the copy to complete its execution. The copy of the signature appearing on the copy so executed is to be treated as his or her original signature.

- Any person signing this form under power of attorney or as an authorised signatory represents and warrants that they have been validly appointed or authorised, that they have the power and authority to sign this registration form and have no knowledge of any revocation or cancellation of that power or authority.
- HUB24 recommends that you retain a copy of this registration application for your records.

Licensee Registration Application

Schedule 1

Authorised signatories of the licensee

Please complete details below for each Authorised Signatory of the Licensee. If the Licensee wishes to nominate additional Authorised Signatories, it may do so by providing additional copies of this page.

Authorised Signatory 1

Given name(s)

Surname

Phone number

Mobile number

Email address

Position

The Authorised Signatory must sign in the signature box below. By signing below, the Authorised Signatory represents to HUB24 that they will at all times act within the scope of their authority as an Authorised Signatory of the Licensee.

Signature

Date

Authorised Signatory 2

Given name(s)

Surname

Phone number

Mobile number

Email address

Position

The Authorised Signatory must sign in the signature box below. By signing below, the Authorised Signatory represents to HUB24 that they will at all times act within the scope of their authority as an Authorised Signatory of the Licensee.

Signature

Date

Licensee Registration Application

Authorised Signatory 3

Given name(s)

Surname

Phone number

Mobile number

Email address

Position

The Authorised Signatory must sign in the signature box below. By signing below, the Authorised Signatory represents to HUB24 that they will at all times act within the scope of their authority as an Authorised Signatory of the Licensee.

Signature

Date

Schedule 2

HUB24 reliance on adviser customer identification

Background

When distributing the Relevant Products and services, HUB24 typically relies on:

- the Licensee and its advisers operating under the Licensee's AML/CTF Program, to complete Client Identification Procedures for the purposes of the AML/CTF Laws;
- the Client Identification Procedures carried out by the Licensee and its advisers, as permitted under the AML/CTF Laws;
- the Licensee and its advisers to retain the relevant Client Identification Records for the period prescribed by the AML/CTF Laws.

The terms relating to this arrangement are set out in the Licensee Agreement.

In order for HUB24 to rely on the Licensee and its advisers as outlined above, we must be satisfied that you have measures in place to comply with your obligations under the AML/CTF Laws (such as Parts 2 and 10 of the AML/CTF Act). We also require you to create, maintain, update and retain Client Identification Records and provide us with those Client Identification Records in accordance with the terms of the Licensee Agreement.

The following questions and your answers to these questions form part of your obligations relating to anti-money laundering and counter-terrorism financing which you are required to comply with under the Licensee Terms.

We recommend you complete this section in consultation with the person responsible for your compliance function.

If your answers to these questions don't align with the applicable requirements under the AML/CTF Laws and our anti-money laundering and counter-terrorism policies and procedures (including our AML/CTF program), we will not be able to process or accept this application.

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Questionnaire

1. Does the Licensee have a complying and Board approved AML/CTF program?
☐ Yes
☐ No
2. What type of AML/CTF program has the Licensee adopted?
☐ Standard/Joint
☐ Special (Part B only)
3. Is the Licensee's AML/CTF program independently reviewed on a regular basis?
☐ Yes
☐ No
☐ N/A
4. Does the Licensee have any open review findings in respect of the design and/or operational effectiveness of its customer identification and verification procedures?
☐ Yes
☐ No

If yes, please provide a brief description and the Licensee's timeline for addressing these matters.

5. Does the Licensee retain records of its customer identification procedures and customer identification and customer identification verification information in compliance with the AML/CTF Act?
☐ Yes
☐ No
6. Do you rely on any customer identification procedures carried out by a third party reporting entity under that reporting entity's own AML/CTF program?
☐ Yes
☐ No

Note: Under the AML/CTF Laws, we cannot rely on your Client Identification Procedures where you have relied on the customer identification performed by another reporting entity.

7. Do the Licensee's customer facing representatives (including advisers) regularly receive anti-money laundering and counter-terrorism financing risk awareness training in compliance with the AML/CTF Laws?
☐ Yes
☐ No