



Dealer Group registration form

This form must be completed to permit a Financial Adviser to deal in and provide financial product advice, in its capacity as an authorised representative of the Dealer Group, in relation to financial products issued by NGS Super Pty Ltd ABN 46 003 491 487 and AFSL 233 154. The Dealer Group will receive amounts paid by NGS Super members for financial advice provided by the Dealer Group's registered Financial Advisers into to the bank account specified in Step 2.

Important: Any advice fee will not be paid until this Dealer Group registration form has been completed and the Financial Adviser has also completed the Financial Adviser registration form.

Send your completed form to:
NGS Super
GPO Box 4721
MELBOURNE VIC 3001
or send via email to advisersupport@ngssuper.com.au

Step 1. Dealer Group details

Please print in black or blue pen, or complete electronically.

Dealer Group name

Dealer Group ABN

AFSL number

Principal place of business

Suburb

State

Postcode

Postal address (only complete if different to above)

Suburb

State

Postcode

Phone number

Mobile number

Email address (for contact and remittance advice)

Primary contact details:

Full name

Position

Phone number

Mobile number

Email address



Step 2. Account details for advice fee payments

Note: Payment will only be paid via electronic funds transfer (EFT). The Dealer Group must notify the Trustee immediately if account details change.

Financial institution

Account name

BSB number

Account number

Important: All advice fee payments will be made via electronic funds transfer. If these account details change, the Dealer Group must notify the Trustee immediately by:

Phone: 1300 133 177 or

Email: advisersupport@ngssuper.com.au

Step 3. Sign the form

By signing this form, the Dealer Group:

- Confirms it holds an Australian Financial Services Licence (AFSL), issued by the Australian Securities and Investments Commission (ASIC), that authorises it to deal in, and provide financial product advice in relation to, products issued by NGS Super Pty Ltd.
- Agrees to use best endeavours to ensure it, and its Financial Advisers to be registered with NGS Super, comply with:
 - the conditions of the AFSL;
 - NGS Super's Terms of Trade, as amended from time to time;
 - applicable laws, regulatory policies and best industry practices relevant to the Dealer Group;
 - any reasonable request for information made by, or on behalf of, NGS Super; and
 - NGS member instructions and authorisations.
- Confirms that:
 - the AFSL is not currently subject to any additional terms or conditions imposed by ASIC;
 - the Dealer Group is not subject to any undertaking enforceable by ASIC; and
 - Financial Advisers to be registered with the Dealer Group are appropriately trained to understand the sole purpose test in the Superannuation Industry (Supervision) Act 1993 (Cth), as it relates to the charging of advice fees to members' accounts.
- Agrees to indemnify and hold harmless NGS Super and its representatives from any loss or liability that may arise from the actions or omissions of the Dealer Group and its Financial Advisers.
- Understands that NGS Super may validate or confirm the information provided in this form and perform anti-money laundering and counter terrorism financing checks.
- Consents for personal information to be collected, disclosed and used as described in the [Privacy Statement](#).
- Confirms that the details on this form are true and correct.

Signed for and on behalf of the Dealer Group by its Authorised Signatory, who represents and warrants that they are duly authorised to execute this document on behalf of the Dealer Group and has received no notice of the revocation of their authority:

Signature of Authorised Signatory

Name of Authorised Signatory

Date



Annexure: NGS Super Terms of Trade

These terms of trade (**Terms**) set out the rules and requirements applicable to the Dealer Group (**You or Your**), its registered financial advisers (**Financial Advisers**) and any of the Financial Adviser's nominated practice representative(s) (**Nominated Practice Representative(s)**), regarding:

- advice fee deductions from the account(s) of an NGS member (**Member**) (via the Advice fee deduction authority form (**Deduction Form**);
- access to a Member's account(s) (via the Financial Adviser Nomination form (**Nomination Form**))

for interests issued by NGS Super Pty Limited ABN 46 003 491 487 AFSL 233 154 (**Trustee, We, Us or Our**), as trustee for NGS Super ABN 73 549 180 515 (**Fund**).

Preconditions

A Deduction form or Nomination form (each a **Form**, together the **Forms**) will not be processed unless:

- You are a registered Dealer Group (completed via the Dealer Group registration form);
- the financial adviser specified in the Form is a registered Financial Adviser (completed via the Financial Adviser registration form).

General

- You must, at all times:
 - hold an Australian Financial Services Licence (**AFSL**), issued by the Australian Securities and Investments Commission (**ASIC**), that authorises You to deal in, and provide financial product advice in relation to, products issued by Us in the Fund;
 - maintain appropriate controls, training, reporting and verification procedures; and
 - maintain adequate professional indemnity insurance.
- You must use best endeavours to ensure You, Your Financial Advisers and any Nominated Practice Representative(s) comply with:
 - the conditions of Your AFSL;
 - all applicable laws, regulatory policies and best industry practices;
 - the relevant product's design and distribution obligations;
 - our reasonable request for information; and
 - these Terms, as amended from time to time.
- You must notify Us in writing, as soon as possible, if:
 - You cease to hold an AFSL;
 - a Financial Adviser ceases:
 - registration with ASIC;
 - to be Your authorised representative; or
 - You, a Financial Adviser or any Nominated Practice Representative(s):
 - become subject to any claim, legal action or investigation by ASIC;
 - breach any relevant law, regulatory policy or best industry practices if the breach is relevant to NGS Super; or
 - breach these Terms.
- You indemnify and hold harmless the Trustee and its representatives against any loss or liability, arising, or may arise, from the actions or omissions of You, Your Financial Advisers and any Nominated Practice Representative(s).
- We may validate or confirm the information provided to Us and perform anti-money laundering and counter terrorism financing checks.
- We will collect and, where required, retain documentation in accordance with Our Privacy statements, the *Privacy Act 1988* (Cth) and other applicable privacy laws.
- We may amend these Terms by posting updated terms on Our website or by written notice to You. We will notify You of any amendments, and the effective date of such amendments, as soon as practicable.

Advice fees deductions

The following rules and requirements apply to advice fee deductions:

- A Deduction Form must be completed for each advice fee payment.
- A Member may only deduct the portion of a financial advice fee that directly relates to their NGS Super account(s).
- Defined Benefit Members can only deduct advice fee payments from any separate rollover or voluntary contribution account(s).
- After the deduction of an advice fee, the Member must have minimum balance of:
 - \$6,000 in their Accumulation account;
 - \$2,000 in their Income/TTR account; or
 - \$6,000 in their separate rollover or voluntary contributions account(s) for Defined Benefit Members.
- A maximum of \$5,000 (inclusive of GST) per each rolling 12-month period can be deducted.



Advice fees deductions (cont'd)

- Any advice fee deduction will be:
 - processed as soon as practicable;
 - paid to Your bank account specified in Step 2 of the Dealer Group registration form, unless You provide Us with notice of a change to account details; and
 - paid monthly with a remittance report.
- At Our request, You must provide the Statement of Advice and/or Record of Advice relating to the deduction.
- We have discretion to reject a deduction, including if You have, or We suspect you have, breached any applicable law, regulatory policy best industry practice, these Terms or the sole purpose test in the Superannuation Industry (Supervision) Act 1993 (Cth) will not be satisfied.
- At Our direction, You must return, as soon as practicable (or within 14 days), an advice fee paid to You, if:
 - the deduction was not accordance with, or related to, a Deduction form;
 - was deducted by Us, or received by You, contrary to law; or
 - You are not entitled to payment, for any reason.

Financial Adviser Nomination

The following rules and requirements apply to Financial Adviser nominations:

- A Nomination Form must be completed by the Financial Adviser to view the details of a Member's account(s).
- The access provided:
 - is 'read only';
 - is not transactional;
 - does not impact Our existing access; and
 - is limited to one Financial Adviser and any Nominated Practice Representative(s) at a time.
- The access will be revoked:
 - at the Member's discretion, by contacting Us;
 - if the Member submits another Nomination form for a different financial adviser (regardless of whether the nominated financial adviser is Your Financial Adviser); or
 - if the Financial Adviser ceases to be Your authorised representative.

Privacy Collection Statement

NGS Super Pty Limited ABN 46 003 491 487 collects personal information from you (or from third parties such as your employer or another super fund) to manage your NGS Super account, keep you informed, improve our products and services or take action on a matter you have contacted us about. If we don't have your personal information, we may not be able to perform these services. We may be authorised to collect your personal information by certain laws, including laws relating to superannuation, taxation and anti-money laundering/counter-terrorism financing.

We disclose personal information as required to manage the Fund, to service providers (including our administrator, our insurer and professional advisers), employers or parties required by law. Personal information may be accessed by service providers overseas. For offshore locations, details of how to access and change your personal information and the privacy complaints process, go to ngssuper.com.au/pcs and ngssuper.com.au/privacy or call us on **1300 133 177**.