

Adviser Registration and Client Adviser Transfer Form

Use this form to either register a new *nominated financial adviser* (Adviser) with St.George Margin Lending or to transfer a single St.George Margin Lending client/multiple clients between St.George Margin Lending Advisers. A client Adviser transfer can occur between Dealer Groups or within a Dealer Group. Words printed *like this* have the meaning given to them in the client's St.George Margin Lending Facility Agreement.

Questions?

If you have any questions regarding completing this form please contact the Account Management Team on 1300 304 065 Monday to Friday, 8:30am-5:30pm (Sydney time).

Section 1 - Instructions related to this request

- ☐ Register as a new Adviser with St.George Margin Lending
(Complete sections 2, 7 and the required sections outlined below if transferring clients)
- ☐ Change a single client's Adviser on their St.George Margin Lending facility
(Complete sections 3, 4, 5 and 7)
- ☐ Change multiple clients' Advisers (bulk client transfer) on their St.George Margin Lending facility
(Complete sections 3, 4 and 7 and supply the required information as specified in section 6)

Section 2 - Adviser Registration

Please provide details of the new Adviser to be registered with St.George Margin Lending:

Title	Given name(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>
Business address		
<input type="text"/>		
Postal address (if different from above)		
<input type="text"/>		
Daytime phone number	Mobile phone number	Email address
<input type="text"/>	<input type="text"/>	<input type="text"/>
Dealer Group name		
<input type="text"/>		
Dealer Group Australian Business Number (ABN)		
<input type="text"/>		
Dealer Group AFSL/ASIC Authorised Representative number		
<input type="text"/>		

Please also supply a letter of authority from the Dealer Group that authorises you to act on their behalf. This letter must be provided on Dealer Group company letterhead.

Section 3 – Transfer Client(s) from

Please indicate the current St.George Margin Lending Adviser that you want the client(s) transferred from:

St.George Margin Lending Adviser number (if known)

Adviser name

Dealer Group name

Dealer Group Australian Business Number (ABN)

Section 4 – Transfer Client(s) to

Please indicate the St.George Margin Lending Adviser that you want the client(s) transferred to:

St.George Margin Lending Adviser number (if known)

Adviser name

Dealer Group name

Dealer Group Australian Business Number (ABN)

Please note: Any bulk client Adviser transfer changes are subject to our prior confirmation of the change with each affected client.

Section 5 – Single Client Transfer Details

Please provide details of the client's St.George Margin Lending account that is subject to the change in Adviser:

St.George Margin Loan client reference number

St.George Margin Loan account name

Section 6 – Required Information for Bulk Client Transfers

To complete the bulk client transfer, we need you to submit the following with this form:

- A spreadsheet with the full names of all the clients that are being transferred and their corresponding St.George Margin Lending client reference numbers, with the name and adviser number of the Adviser to which they are transferring.

Please note: Any bulk client Adviser transfer changes are subject to our prior confirmation of the change with each affected client.

Section 7 – Signatures

For a new Adviser registration:

Signature of **Adviser**

X

Signatory's full name (please print)

Date

/ /

For a single client transfer:

For company or company trustee borrowers, either two directors, or one director and the secretary OR the sole director and secretary must sign. Indicate your company capacity by marking the appropriate box below your signature.

Signature of **Borrower**

X

Signatory's full name (please print)

☐ Director ☐ Sole Director and Secretary

Date

/ /

Signature of **Additional Borrower**

X

Signatory's full name (please print)

☐ Director ☐ Company Secretary

Date

/ /

Signature of **New Adviser**

X

Signatory's full name (please print)

Date

/ /

For a bulk client transfer:

Signature of **Old Adviser or Dealer Group Representative**

X

Signatory's full name (please print)

Date

/ /

Signature of **New Adviser or Dealer Group Representative**

X

Signatory's full name (please print)

Date

/ /

Please send the completed form to:
St.George Margin Lending
Reply Paid 1467, Royal Exchange NSW 1224
or
email to: MLTRANSACT@stgeorge.com.au