

# Adviser Change Of AFS Licensee

## A13



right by your side

**If you are an adviser registered with Brighter Super, use this form to advise us if you have become the authorised representative of another AFS Licensee.**

This form only applies to Brighter Super accounts issued and administered by Brighter Super, including interests in Brighter Super and Brighter Super Optimiser.

You can use this form to advise us of the clients who are moving with you, but your new AFS Licensee will also need to nominate you as an authorised representative before we will update our records (which they can do on this, or our *Adviser registration* form).

### Adviser's Details

Adviser's name		Brighter Super Adviser ID	
ASIC <sup>1</sup> authorised representative number		AFS <sup>2</sup> Licence number	
Practice name			
AFS <sup>2</sup> Licensee name			
Phone		Mobile	
Email			
Company address			
Suburb/town		State	Postcode

### New AFS Licensee's details

Brighter Super ID		AFS <sup>2</sup> Licence number	
AFS <sup>2</sup> Licensee name			
Email <sup>3</sup>			
Phone		Mobile	
Business address			
Suburb/town		State	Postcode

<sup>1</sup> Australian Securities & Investments Commission

<sup>2</sup> Australian Financial Services

<sup>3</sup> The email address you provide will be used to send notifications when your adviser fee statements are available to download via our Secure File Transfer portal.

## Old AFS Licensee's details

<b>Brighter Super ID</b>		<b>AFS<sup>2</sup> Licence number</b>	
<b>AFS<sup>2</sup> Licensee name</b>			
<b>Email</b>			
<b>Phone</b>		<b>Mobile</b>	
<b>Business address</b>			
<b>Suburb/town</b>		<b>State</b>	<b>Postcode</b>

<sup>2</sup> Australian Financial Services

## 1 Members transferring with you to your new AFS Licensee

If any Brighter Super members will be moving with you to your new AFS Licensee, please let us know so that we can update our records. You will need to provide written evidence that both your old and new AFS Licensee agree to this transfer (which they can do on this form).

List the Brighter Super accounts to be transferred with you or attach on a separate piece of paper.

### Please note:

If you provide the details on a separate piece of paper you (and any other signatories to this form) must sign and date each page, and include the section reference number from the form.

### Member details

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

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## 2 Members staying with your old AFS Licensee

If you are the nominated adviser for any Brighter Super members who will stay with your old AFS Licensee, you need to let us know. We will need to remove you as the nominated adviser and cancel any ongoing and/or fixed-term advice fee arrangements these members have with you.

Your old AFS Licensee should provide evidence of the appointment of the new adviser who will service these members (on this or our Appoint or change adviser form) so we can update our records.

List the Brighter Super accounts (for which you are the nominated adviser) which will stay with your old AFS Licensee or provide the details on a separate piece of paper.

### Please note:

If you provide the details on a separate piece of paper you (and any other signatories to this form) must sign and date each page, and include the section reference number from the form.

### Member details

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

Member name: \_\_\_\_\_

Account number(s): \_\_\_\_\_

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## 3 Employer plans where you are the nominated adviser

List the Brighter Super employer plans where you are the nominated adviser, then let us know whether they will move with you. You must provide a copy of the employer's written consent if they are moving with you, otherwise we will remove you as their nominated adviser.

If the employer provides written consent, you will continue to as a nominated adviser for the plan's employee members.

### Employer plan details

Employer's name: \_\_\_\_\_

Employer number: \_\_\_\_\_

Moving to new AFS Licensee? ☐ Yes ☐ No

Employer's name: \_\_\_\_\_

Employer number: \_\_\_\_\_

Moving to new AFS Licensee? ☐ Yes ☐ No

Employer's name: \_\_\_\_\_

Employer number: \_\_\_\_\_

Moving to new AFS Licensee? ☐ Yes ☐ No

## 4 Adviser declaration

By signing this form I acknowledge, confirm and/or declare that:

- I am an authorised representative of the new AFS Licensee, and that AFS Licensee is registered with Brighter Super.
- Where I am the nominated adviser for a Brighter Super account/employer plan and I will continue to be the nominated adviser for the client once I move to the new AFS Licensee (as detailed in sections 1 and 3):
  - i. each such client has been advised of the change in my AFS Licensee and no client has objected to the change or advised that they no longer wish for me to act as their adviser; and
  - ii. I understand that the terms of my authorisation as an adviser and any arrangement to deduct an advice fee from a member's Brighter Super account shall continue to be subject to the same terms and conditions, but replacing the old AFS Licensee with the new AFS Licensee on and from the date Brighter Super accepts this form and my registration as a representative of my new AFS Licensee.
- I understand that the Brighter Super members nominated in section 1 will only be transferred with me to the new AFS Licensee if Brighter Super receives written confirmation from both my old and new AFS Licensee that they agree to the transfer of clients.
- I understand that my nomination as the adviser (and/or as a third party authority holder) for my clients who are staying with my old AFS Licensee (as detailed in section 2) will be revoked and any current advice fee arrangement in place with me will be cancelled on/or following the acceptance by Brighter Super of my new AFS Licensee's nomination of me as their authorised representative and registered adviser.

**Signature**

**Date signed**

/ /

## 5 New AFS Licensee declaration

On behalf of the AFS Licensee, I/we declare that,

- The AFS Licensee is registered with Brighter Super and this adviser is its authorised representative under its licence.
- The AFS Licensee has provided this adviser with a copy of the Terms of Trade (as amended to this date) with Brighter Super and entered into a legally binding agreement with the adviser to comply with those terms as an authorised representative of the AFS Licensee.
- This adviser is registered as a financial adviser with ASIC, meets all the requirements for that registration and has the appropriate skills, knowledge and training to provide personal financial advice in respect of superannuation generally and Brighter Super's products specifically.
- The AFS Licensee has appropriate mechanisms in place to ensure that the adviser will comply, on a continual basis, with the requirements of relevant law, its AFS Licence and authorisation of the adviser, the Terms of Trade entered into with Brighter Super, ASIC's requirements for the registration and accreditation of financial advisers, client instructions and authorisation and Brighter Super's Privacy policy.
- If Brighter Super accepts this nomination of the adviser, the AFS Licensee will advise Brighter Super as soon as is reasonably practicable, and within the time required by Law, if:
  - i. the adviser is no longer registered as a financial adviser by ASIC
  - ii. is no longer its authorised representative
  - iii. the adviser fails to meet the minimum requirements of relevant law to continue to act as a financial adviser
  - iv. the AFS Licensee or ASIC take action against the adviser in respect of the services provided (or not provided) to any clients (including but not limited to Brighter Super members), or
  - v. the adviser fails to comply with the Terms of Trade.
- The AFS Licensee agrees to the transfer of clients listed in sections 1 and 3
- I/we are authorised by AFS Licensee to make these declarations and to apply to register this adviser with Brighter Super.

**Representative 1**

**Position**

**Signature**

**Date signed**

/ /

**Representative 2**

**Position**

**Signature**

**Date signed**

/ /

## 6 Old AFS Licensee declaration

On behalf of the AFS Licensee, I/we declare that,

- The AFS Licensee revokes its nomination of this adviser as its authorised representative for Brighter Super.
- The AFS Licensee understands that it remains responsible for the acts and omissions of the adviser under the Terms of Trade (as amended to this date) with Brighter Super up until this revocation of its authorisation is accepted by Brighter Super.
- The AFS Licensee agrees to the transfer of clients with the adviser as outlined in sections 1 and 3.
- In respect of each Brighter Super client who will stay with the old AFS Licensee as outlined in sections 2 and 3, the adviser nominated below is to be added as the new adviser for each client, and a copy of each client's consent to this change is attached.
- I/we are authorised by the AFS Licensee to make this application and these declarations.

### New adviser details

ASIC authorised representative number \_\_\_\_\_

Adviser's full name: \_\_\_\_\_

Brighter Super ID: \_\_\_\_\_

#### Please note:

The transfer of rights to a new adviser does not require a new written consent from the client. However, ASIC considers that, as part of a transfer of rights under an ongoing fee arrangement, clients should be notified of the change in fee recipient by both the existing and new fee recipient.

The relevant communications should be clear, concise and effective, and remind clients that they can cease their ongoing fee arrangement at any time. Please include a copy of the notifications when submitting this form.

<b>Representative 1</b>	<b>Position</b>
<b>Signature</b>	<b>Date signed</b> / /
<b>Representative 2</b>	<b>Position</b>
<b>Signature</b>	<b>Date signed</b> / /

Now you have completed this form and signed the declaration, please send it to us by:

#### Preferred Method

**Website** (Secure file upload)  
[brightersuper.com.au/contact-us](https://brightersuper.com.au/contact-us)

#### Alternative Options

**Email** (scanned copy)  
[adviceoperations@brightersuper.com.au](mailto:adviceoperations@brightersuper.com.au)

**Post** Brighter Super  
GPO Box 264  
Brisbane Qld 4001

