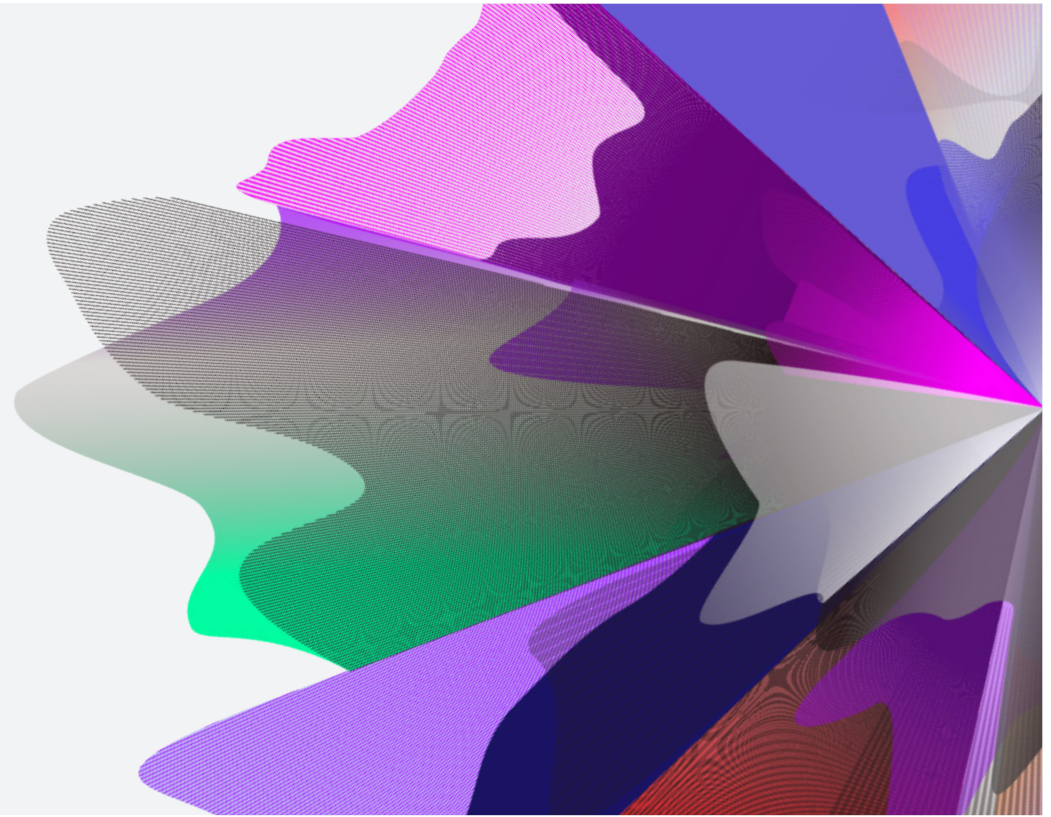


EXPAND



Expand Functionality – Adviser Service Fees

September 2023
myexpand.com.au

Setting up new fees

- 1 To add or edit adviser service fees to an account, you can search for the account by name or number through **Your clients**.

Your clients is a way to both look at your entire account listing and utilise the categories at the top to filter down accounts for running reports and extracting data based on your search criteria.

The screenshot shows the 'Your clients' dashboard. The navigation bar at the top includes 'Home', 'Activity', and 'Your clients', with 'Your clients' highlighted by a green box and a circled '1'. Below the navigation bar, the main content area has a blue header with the text 'Good afternoon, Gal' and a search bar. A grid of six white cards is displayed, each with an icon and a title: 'Your clients' (highlighted with a green box and a circled '1'), 'Activity', 'New application form', 'Recent reports', 'Secure upload', and 'Investment explorer'. A large hot air balloon is visible on the right side of the dashboard.

Setting up new fees (cont.)

2 Navigate to the **Fees** page and in the **Adviser fees** panel, select **Set up new fees**.

3 In the **New advice fee** side panel, a **One-off fee**, or **Ongoing or fixed term fee** can be set up.

One off fee

4 To set up a one off fee, select **Yes** to **Has your client authorised a one-off advice fee?** to be charged and select the service provided.

Otherwise, select **No** to establishing a one off fee and move on to set up the fixed term or ongoing fee.

The screenshot displays the 'Fees' page for a client named Mr Reuven Shlomo Adeli (16571445). The current balance is \$234,947.77. The 'Fees' tab is active in the navigation bar. The 'Adviser fees' panel shows 'There are no current advice fees.' and a 'Set up new fees' button. The 'Future advice fees' panel is open, showing the 'New advice fee' modal. The modal has a 'One off fee' section with a radio button for 'Yes' selected. Below it is a dropdown menu for 'Which fee type would you like to establish for your client?' with 'Select one' chosen. The modal also includes an 'Adviser declaration' section with a list of terms and conditions. A 'Next' button is at the bottom right of the modal.

Setting up new fees (cont.)

Fixed Term Fee

4a To set up a fixed term fee, select **Fixed term arrangement fees** from the drop down list.

Enter the **Start** and **End date** for the period of the arrangement and confirm the services provided (super accounts only).

4b Next select the type of fee by selecting either **Flat percentage fee**, **Tiered percentage fee** or **No percentage fee**.

IMPORTANT:

Fixed Term Service Arrangement is for fees that cover a 12 month period or less. A start and end date is required. The client must have signed within 90 days of the start date or the date the request is processed.

New advice fee

Advice fees

— One off fee —

Has your client authorised a one-off advice fee?
 Yes
 No

Ongoing or fixed term fee

Which fee type would you like to establish for your client?
 Fixed term arrangement fees

Start date
 DD MM YYYY

End date
 DD MM YYYY

Fixed Term Service Arrangement is for fees that cover a 12 month period or less. To help us track this process we require the start and end date. The client must have signed within 90 days of the start date or the date we process this request.

Please select the services being provided (you must select at least one)

- Review of account
- Strategic superannuation advice
- Investment advice on account
- Contribution strategy
- Insurance in superannuation strategy
- Withdrawal advice

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)
 Select one

Flat dollar fee (up to a maximum of \$18,000 pa (inclusive of GST)).
 \$ pa

Insurance fee type
 Select one

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)
 No percentage fee

Flat dollar fee (up to a maximum of \$18,000 pa (inclusive of GST)).
 \$ pa

Insurance fee type
 No insurance fee

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)
 Flat percentage fee

Percentage of account balance (up to a maximum of 2.20% pa (inclusive of GST)).
 1.00 % pa

Estimated fee
 \$

Required

Flat dollar fee (up to a maximum of \$18,000 pa (inclusive of GST)).
 \$ pa

Insurance fee type
 No insurance fee

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)
 Tiered percentage fee

Up to a maximum of 2.20% pa (inclusive of GST) of the account balance can be applied to the amount for each tier. Maximum number of tiers is seven.

Account balance	Percentage
\$0.00 to \$	% pa
\$0.01 and above	% pa

+ Add another tier

Setting up new fees (cont.)

Ongoing Fee

- 5a** To set up a ongoing fee, select **Ongoing fees** from the drop down list. Enter the **Start** and **End date** for the period of the arrangement.
- 5b** Next select the type of fee by selecting either **Flat percentage fee**, **Tiered percentage fee** or **No percentage fee**.
- 5c** To include an **upfront contribution fee**, select the **checkbox** and add the percentage for the upfront contribution together with the estimated fee date.

IMPORTANT:

For ongoing fee arrangements, the start date is optional, if no start is provided fees will commence on the date the form is submitted with the start date applying to all ongoing and upfront advice. The form must be signed no more than 90 days prior to the start date entered.

The consent end date is the date when all ongoing advice fees will end if we have not received your client's consent to continue. Client consent of an ongoing fee arrangement ends 150 days after the next anniversary date.

New advice fee

Advice fees

— One off fee —

Has your client authorised a one-off advice fee?

Yes

No

5a

Ongoing or fixed term fee

Which fee type would you like to establish for your client?

Ongoing fees

Start date (Optional)

DD MM YYYY

5c

Include upfront contribution fee

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)

No percentage fee

Flat dollar fee (up to a maximum of \$18,000 pa (inclusive of GST)).

\$ pa

Insurance fee type

No insurance fee

5b

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)

Flat percentage fee

Percentage of account balance (up to a maximum of 2.20% pa (inclusive of GST)).

NaN % pa

Maximum value of 2.20% exceeded

Estimated fee

\$

Required

Estimated fee date (for the 12 months commencing)

DD MM YYYY

5b

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)

Tiered percentage fee

Up to a maximum of 2.20% pa (inclusive of GST) of the account balance can be applied to the amount for each tier. Maximum number of tiers is seven.

Account balance	Percentage
\$0.00 to \$	% pa
\$0.01 and above	% pa

Maximum value of 2.20% exceeded

+ Add another tier

Estimated fee

\$

Required

Estimated fee date (for the 12 months commencing)

DD MM YYYY

Setting up new fees (cont.)

- 6 To submit the fee set up, read the **Adviser declaration**, then select the **Next** button.
- 7 There are two ways to send the form instructions to your client, via **DocuSign** or by **downloading the PDF**. If downloading the PDF, it can be signed by the client and then returned to us for processing.
- 8 To submit via **DocuSign**, select the **Send via DocuSign** button so the client can sign the instructions digitally. Ensure to check your adviser details and your client's details. Next, select the **Sign now** button to begin the process.

×
New advice fee

Advice fees

One off fee

Has your client authorised a one off advice fee?

Yes
 No

Ongoing or fixed term fee

Which fee type would you like to establish for your client?

Ongoing fees

Start date (Optional)

26 07 2023

① The start date is optional, if no start date is provided fees will commence on the date this form is submitted with the start date applying to all ongoing, upfront and insurance advice fees. This form must be signed no more than 30 days prior to the start date.

Consent end date

26 07 2024

① The consent end date is the date when all ongoing advice fees will end if we have not received your client's consent to continue. Client consent of an ongoing fee arrangement ends 150 days after the next anniversary date.

Percentage based fee (choose a percentage based fee and/or Flat dollar fee)

No percentage fee

Flat dollar fee (up to a maximum of \$18,000 pa (inclusive of GST))

\$ 1,000.00 pa

Insurance fee type

No insurance fee

Include upfront contribution fee

Adviser declaration

As a financial adviser, I declare that:

- The advice fee(s) have been fully explained to my client and relate to advice about their superannuation or pension benefits, insurance and/or investments in the Fund.
- I have obtained consent from my client for the Trustee to charge the advice fee(s) selected against their account.
- I have obtained consent from my client for the amount of any advice fee(s) to be paid to me, or the Australian Financial Services Licensee (Licensee) which I am authorised under, as an additional cost to the client and charged against their account.
- I have advised my client that any agreed advice fee(s) will be charged to their account and paid in full to me, or the Licensee which I am authorised under, until my client instructs the Trustee to cease payment or when there is a change to their nominated financial adviser.

Next

6

×
Send to client

Choose one of these options to collect client signature(s)

Send via DocuSign
Download PDF

Download a PDF of the application form for your client

IMPORTANT INFORMATION

The details included on the confirmation will not be valid until the following has occurred:

- The confirmation is signed and dated by the account holder.
- The signed application form is returned to us by one of these options: Upload, email, or mail.
- The application form is received, checked and approved by IOOF.

Download PDF

7

×
Send to client

Choose one of these options to collect client signature(s)

Send via DocuSign
Download PDF

Send this application securely to your client to obtain a digital signature via DocuSign

An email with a link to the DocuSign document and instructions for completion will be sent to your client using the account holder's email address and require them to enter a one time code sent to the mobile number recorded on the account as below.

Once you and your client have completed the digital signing process, the application will be processed directly by us into the system and appear on the client account.

You and your client will receive a confirmation email from us once the application is finalised. Note: You will receive a carbon copy of the email sent to your client.

Adviser to sign

Please check account contact details [Incorrect details?](#)

Name: Valarie James Ivan
Email: test@test.hq.local
Mobile: +61464949211

Clients to sign (1)

Please check account contact details [Incorrect details?](#)

Name: Mr Gambia Ambrust
Email: 3652449@test.hq.local
Mobile: 0404221116

Send via DocuSign

8

Renewing existing fees

- 9 To renew an existing adviser service fee arrangement on an account, select **Renew fees** at the bottom of the Adviser fees section.
- 10 To use your licensee's approval fee consent form to complete the renewal, select **No** to the question: **Do you intend to use our Advice fee renewal form to collect consent?**, to notify us. To complete the renewal, enter the **Consent end date**. All other fee arrangement details will be displayed.
- 11 Next, select **Upload form** and upload your fee consent form with your client's consent which will be processed by us.

Summary Account details Investments Transactions Fees

Adviser fees

Fee arrangement	Ongoing
Start date	22 May 2023
Consent end date	01 Jun 2024

Advice fee - ongoing

Flat dollar fee	\$1,540.00 pa
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Note: Fees shown are inclusive of GST. The actual amount deducted may be lower due to the effect of RITCs. Percentage fee figures are rounded to three decimal places.

[Cancel fees](#) [Renew fees](#)

The consent end date is the date when all ongoing advice fees will end if we have not received your client's consent to continue. Client consent of an ongoing fee arrangement ends 150 days after the next anniversary date.

Advice fee renewal

Advice fees

All ongoing advice fees require renewal on an annual basis. You can advise us on your client's updated consent by completing the renewal form.

Do you intend to use our Advice fee renewal form to collect consent? [?](#)

Yes

No

Advice fee Renewal

Consent end date

01 06 2024

[?](#) The consent end date is the date when all ongoing advice fees will end if we have not received your client's consent to continue. Client consent of an ongoing fee arrangement ends 150 days after the next anniversary date.

Percentage based fee

No percentage fee

Flat dollar fee (up to a maximum of \$18,000 pa (inclusive of GST)).

\$ 1,540.00 pa

Adviser declaration

As a financial adviser, I declare that:

- The advice fee information entered into IOOF Online is consistent with the fees set out in the form and will rely solely on the information I have entered into IOOF Online Advice fee renewal form.

Upload documentation

Applications will not be valid until we receive complete and signed application form and associated documentation.

Take photos (or scan) all pages of the signed documentation and upload the images or PDFs using the tool below.

Permitted file types: JPEG, JPG, PNG, GIF, PDF
Filenames cannot exceed 128 characters.

Drop files anywhere to upload
or
Browse Files
Maximum upload file size: 24 MB

Documents uploaded

No documents uploaded

Upload form

Renewing ongoing existing fees

12 To set up the Advice fee renewal using our forms, select Yes to the initial question. Enter the **Consent end date** for the current fee arrangement and current fee arrangement will be displayed. Select the Next button to continue.

13 To submit via Docusign, select the **Send via Docusign** button so the client can sign the instructions digitally. Ensure to check your adviser details and your clients details. Next, select the **Sign now** button to begin the process.

If downloading the PDF, select **Download PDF** it can be signed by the client and then returned to us for processing.

Advice fee renewal

Advice fees

All ongoing advice fees require renewal on an annual basis. You can advise us on your client's updated consent by completing the renewal form.

Do you intend to use our Advice fee renewal form to collect consent? ⓘ

Yes
 No

One off fee

Has your client any one off advice fee?

Yes
 No

Advice fee Renewal

Consent end date

01 / 03 / 2024

ⓘ The consent end date is the date when all ongoing advice fees will end if we have not received your client's consent to continue. Client consent of an ongoing fee arrangement ends 150 days after the next anniversary date.

Percentage based fee

No percentage fee

Flat dollar fee (up to a maximum of \$18,000 pa (inclusive of GST)).

\$ 1,000.00 pa

Adviser declaration

As a financial adviser, I declare that:

- The fees have been fully explained to my client/s.
- I have obtained consent from my client/s for the Service Operator to charge the advice fee(s) selected against the account.
- I have obtained consent from my client/s for the amount of any advice fee(s) to be paid to me, or the Australian Financial Services Licensee (Licensee) which I am authorised under, as an additional cost to the client/s and charged against their account.
- I have advised my client/s that any agreed advice fee(s) will be charged to their account and paid in full to me, or the Licensee which I am authorised under, until my client/s instruct/s the Service Operator to cease payment or when there is a change to their nominated financial adviser.
- Where the advice fee is being charged on this account, to the best of my knowledge none of the account that is subject to a percentage based fee is sourced from borrowed funds.

Next

Send to client

Choose one of these options to collect client signature(s)

Send via Docusign Download PDF

Send this application securely to your client to obtain a digital signature via Docusign

An email with a link to the Docusign document and instructions for completion will be sent to your client using the account holder's email address and require them to enter a one time code sent to the mobile number recorded on the account as below.

Once you and your client have completed the digital signing process, the application will be processed directly by us into the system and appear on the client account.

You and your client will receive a confirmation email from us once the application is finalised. Note: You will receive a carbon copy of the email sent to your client.

Adviser to sign

Please check account contact details **Incorrect details?**

Name: [Redacted]
Email: [Redacted]
Mobile: [Redacted]

Clients to sign (1)

Please check account

Name: [Redacted]
Email: [Redacted]
Mobile: [Redacted]

Send to client

Choose one of these options to collect client signature(s)

Send via Docusign **Download PDF**

Download a PDF of the application form for your client

IMPORTANT INFORMATION

The details included on the confirmation will not be valid until the following has occurred:

- The confirmation is signed and dated by the account holder.
- The signed application form is returned to us by one of these options: Upload, email, or mail.
- The application form is received, checked and approved by IOOF.

Download PDF

Setting up future advice fees

- 14 To set up new future advice fees, select **Set up new fees** in the **Future advice fees** section.
- 15 Select the existing fee type arrangement from the drop down list and Yes/No to copy existing fee arrangement. If yes is selected, details of the current fee arrangements will be pre-filled.
- 16 Enter the start and end dates, and select the services provided. Once all fee details are selected and you have read the adviser declaration, select **Next** to submit the renewal. Both DocuSign and PDF form options are available to submit the the new fee which will replace the existing fee.

The screenshot displays the 'Future advice fees' section of the adviser interface. The main area shows a message: 'There are no future advice fees.' Below this message is a green circle with the number '14' and a downward arrow pointing to a button labeled 'Set up new fees'. The 'Adviser fees' section on the left shows details for an ongoing fee arrangement: 'Fee arrangement: Ongoing', 'Start date: 17 Nov 2022', 'Consent end date: 01 Jan 2024', 'Advice fee - ongoing', and 'Flat dollar fee: \$1,500.00 pa'. A 'Renew fees' link is visible below the details.

The 'New advice fee' modal form is overlaid on the screen. It contains the following fields and options:

- Advice fees** (Section Header)
- One off fee** (Section Header)
- Has your client authorised a one-off advice fee?
 - Yes
 - No
- Ongoing or fixed term fee** (Section Header)
- Which fee type would you like to establish for your client?
 - Ongoing fees (Selected)
- Copy existing fee arrangements?
 - Yes
 - No
- Start date (Optional)
 - DD MM YYYY

A green circle with the number '15' and a downward arrow points to the 'Copy existing fee arrangements?' section, which is highlighted with a red box. A green circle with the number '14' and a downward arrow points to the 'Set up new fees' button in the main interface.

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