

Dealer group registration



Use this form to:

Register as a dealer group to recommend offers and services available through the Panorama internet service. The use of this form is **limited to registering your dealer group**. Your dealer group authorised persons nominated in section 2 of this form will be granted manager access. This access will allow them to login online and finalise your dealer group hierarchy and staff registration. You can nominate additional managers via the 'Manager access' form.

You can type directly into the form and print before signing, or print then complete in block letters. Each section of the form must be completed for the update to be processed.

Important information

BT Portfolio Services Ltd ABN 73 095 055 208 ('BTPS') must sight a copy of the Australian Financial Services Licence (AFSL) of the person or entity ('Licensee') on whose behalf you are authorised to recommend the offers and services available through the Panorama internet service.

Dealer group hierarchy

You will have the ability to set up a "practice(s)" under the dealer group allowing you to segregate your business (e.g. state or business unit) and link specific advisers to a practice. This is for your administrative purposes only. The relationship between the adviser and their clients will remain unchanged and the adviser will remain associated with your dealer group.

Dealer group authorised person

A dealer group authorised person will have authority to give instructions and sign Panorama forms on behalf of the dealer group. There are two types of authorisations – a practice level and dealer group level authorisation.

- Practice level authority is limited to providing instructions on behalf on the dealer group in relation to a particular practice (such as transferring clients between advisers, appointing and removing staff access). A practice authorised person can be nominated using the 'Change dealer group authorised person' form.
- Dealer group level authority is responsible for all aspects of the dealer group including but not limited to amending your dealer group's bank account details, and adding or removing dealer group authorised person(s). You can nominate two dealer group authorised persons within this form. You can nominate additional dealer group authorised persona using the 'Change dealer group authorised person' form.

Dealer group managers and practice managers

A dealer group manager (with update access) will have the ability to setup:

- Practice(s) – refer to *dealer group hierarchy*
- Practice managers – a practice manager (with update access) will have ability to register their advisers and support staff under the practice.
- Dealer group managers
- Advisers and support staff

The registration of a Adviser Group can be completed by the 'Adviser group access' form.

You must nominate at least two dealer group managers (with update access) for your dealer group. This can be done under section 2 of this form or via the 'Manager access' form.

Terms and conditions

In signing this form, you are bound by the '[Panorama User Agreement](#)'. These have been provided to you at the same time as this application and can be accessed via the above hyperlink or bt.com.au/panorama

Privacy Statement

All personal information and credit-related information we collect about you is collected, used and disclosed by us in accordance with our Privacy Statement which is available at www.bt.com.au/personal/help/privacy/privacy-statement or by calling us. Our Privacy Statement also provides information about how you can access and correct your personal information, and make a complaint. You do not have to provide us with any personal information or credit information but, if you don't, we may not be able to process your application.

Before you, or your agents, provide your client's personal information to us, or you provide access to any of our products or services to your customers whereby we will collect or you will provide to us their personal information, you must make them aware:

- that you will be doing this;
- the contents of our Privacy Statement and any other relevant privacy notices; and
- that we will collect, use and share their personal information in accordance with our Privacy Statement and any other privacy notices we give you.



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Where you provide us with another person’s sensitive information (or sensitive information will be collected by or provided to us by you or your agents in relation to a customer’s use of any of our products or services), you must first obtain their consent to sharing it with us and their consent to us collecting, using and disclosing their sensitive information in accordance with our Privacy Statement and any other relevant privacy notices.

1 Dealer group information

Dealer group name (AFSL holder)

Australian Business Number (ABN) of the Licensee

AFSL number (please attach a copy of the AFSL)

Business Development Manager name

2 Dealer group authorised person

See ‘important information’ for details about the dealer group authorised person.

Dealer group authorised person 1

Title

Mr Mrs Ms Miss

First name

Last name

Gender

Male Female

Date of birth (dd/mm/yyyy)

Business address

Address

Suburb

State

Postcode

Postal address

Same as business address

Address

Suburb

State

Postcode

Note A mobile number is required to finalise your Panorama online access. Incomplete details may result in a delay.

Mobile

Email address

Other contact number (e.g. work phone)

Preferred contact method

Mobile Email address Other contact number

Panorama online access

Do you wish for the authorised person 1 to also be set up with dealer group ‘Manager access’?

Read only access Update access¹ (default)

¹ User can set up and maintain dealer group managers, practice managers, advisers and support staff access to Panorama, perform user access validation and if applicable, manage tailored portfolios.

Dealer group authorised person 1

In signing below, you are bound by the ‘Panorama User Agreement’. These have been provided to you at the same time as this application and can be accessed via bt.com.au/panorama

Authorised person 1 signature (Wet (pen) signature required)

Date (dd/mm/yyyy)



Dealer group registration

Dealer group authorised person 2

Title

Mr Mrs Ms Miss Dr

First name

Last name

Gender

Male Female

Date of birth (dd/mm/yyyy)

Business address

Address

Suburb

State

Postcode

Postal address

Same as business address

Address

Suburb

State

Postcode

Other contact number (e.g. work phone)

Preferred contact method

Mobile Email address Other contact number

Panorama online access

Do you wish for the authorised person 2 to also be set up with dealer group 'Manager access'?

Read only access Update access¹ (default)

¹ User can set up and maintain dealer group managers, practice managers, advisers and support staff access to Panorama, perform user access validation and if applicable, manage tailored portfolios.

Dealer group authorised person 2

In signing below, you are bound by the '[Panorama User Agreement](#)'.

These have been provided to you at the same time as this application and can be accessed via bt.com.au/panorama

Authorised person 2 signature ([Wet \(pen\) signature](#) required)

Date (dd/mm/yyyy)

3 Dealer group bank account details

Fees will be paid into the following account:

Account holder name

Name of financial institution

BSB

Account number

Note A mobile number is required to finalise your Panorama online access. Incomplete details may result in a delay.

Mobile

Email address



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Dealer group registration

4 Challenger Annuity Products via Panorama

Would you like to register for Challenger Annuity Products via Panorama?

Yes¹ No

5 AML/CTF

When distributing our products and services, we rely on your advisers operating under your policies, to complete and retain the customer identification procedure under the AML/CTF rules Part 7.2. To ensure we both meet our compliance requirements under AML/CTF law including our AML program, BT needs to ask you these questions. These form part of the AML/CTF Requirements that we communicate to you under the platform Terms and Conditions.

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 AML/CTF law and Westpac Policy, we will not be able to process this application.

Note:

Reference to:

- AML/CTF Act is the Anti-Money Laundering and Counter-Terrorism Financing Act 2006.
- AML/CTF Rules is the Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1).
- AML includes AML/CTF.

1. Has your entity adopted an AML/CTF program⁰?

Yes No

⁰Requirement under AML/CTF Act sections 81-86, AML/CTF Rules 5.1.1-5.2.3; Chapter 4.

2. What type of AML/CTF program have you adopted¹?

Standard/Joint Special (Part B only)

¹Dealer Groups that only arrange products have a Special Program (Part B only). Part B covers customer identification. A Standard/Joint program comprises Part A and Part B.

3. How often is this program reviewed²?

Annually Every 2 years² Other

²Under our Requirements we expect you to review your program at least every 2 years. Under AML/CTF Rules r 8.6.1 the Part A program must be subject to regular review.

4. Have you appointed an independent party to review the effectiveness of your AML compliance program³?

Yes No

³Requirement under AML/CTF Rules Parts 8.6 or 9.6 for a Part A program (not a Special (Part B) program).

5. Can you confirm if your program covers⁴:

a) Initial and ongoing assessments of customers that are posed as high (e.g. Politically Exposed Persons) or 'out of tolerance' money laundering risks?

Yes No

b) A risk-based procedure for the identification, escalation and reporting of suspicious and other reportable matters to a responsible compliance officer and in turn the regulatory authorities such as AUSTRAC if reportable?

Yes No

c) Retaining customer identification information in compliance with the AML/CTF Act?

Yes No

Important: Under our Terms and Conditions and Westpac AML/CTF Program (Parts A and B) we require you to save your customer identification records and customer risk assessments for the duration of the customer relationship and 7 years after termination. You must provide a copy on our request within 5 business days.

⁴Requirement under AML/CTF Act s 41, ss 107-108, 112-114, Rules r 15.9, 18.2, 29.1-2.



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6. Do you use any independent third parties for customer identification⁵?

Yes No

⁵Under the AML/CTF Rules Part 7.2, we cannot rely on your customer identification where you have not completed verification yourself.

7. Prior to your advisers opening a client account, has the customer identification and verification been completed with the appropriate form⁶?

Yes No

⁶Under our Requirements, the appropriate form is either the BT or FSC/FPA Identification Form.

8. Can you confirm your customer facing staff (including third-party suppliers, casual/temporary and contractors) training program⁷ covers:

a) Identification and verification procedures?

Yes No

b) AML/CTF and sanctions risks associated with the types of products and services offered?

Yes No

c) A process for identification and escalation of suspicious and other reportable matters to a responsible compliance officer to ensure reporting to regulatory authorities?

Yes No

⁷Requirement under AML/CTF Rules r 8.2-3 for a Part A program.

9. Have you appointed an AML/CTF compliance officer⁸ accountable for AML matters?

Yes No

⁸Requirement under AML/CTF Rules r 8.5.1 for a Part A program.

6 Declaration & acknowledgements

I declare I have fully read this form and the information completed is true and correct. By signing this form, I agree to the following terms and conditions:

- The adviser/s that will be registered under this dealer group are either:
 - An Authorised Representative under section 916A of the Corporations Act 2001 (Cth) of the Licensee and under that authorisation is authorised to recommend Panorama Investment offers and services as set out in the 'Panorama User Agreement'; or
 - An employee or director of the Licensee or of another entity specified in section 911B(1)(a) of the Corporations Act 2001 (Cth) that is authorised to recommend Panorama Investment offers and services as set out in the 'Panorama User Agreement'; or
 - Authorised under section 916B(3) of the Corporations Act 2001 (Cth) by a corporate representative of the Licensee and under authorisation is authorised to recommend Panorama Investment offers and services as set out in the 'Panorama User Agreement'.
- You have agreed to recommend the Panorama investment offers and services as set out in the 'Panorama User Agreement'.
- You have agreed to be bound by the terms and conditions set out in the 'Panorama User Agreement'. These can be accessed via bt.com.au/panorama and have previously been provided by your Business Development manager.
- All users that are registered under your dealer group level access (including if they are linked to a practice linked under your dealer group) will be assumed to have been approved by you to use Panorama and the obligations imposed on you under this agreement will be extended to the actions of your authorised representatives and nominated users and you will be bound by '[Panorama User Agreement](#)' that they agree to as part of their registration. These terms and conditions can be accessed via the above hyperlink or bt.com.au/panorama



Dealer group registration

Dealer group signature

In the case of company signatories, **two directors or a director and a company secretary must sign** unless the company has a sole director and sole secretary. Company signatories must also indicate their company title.

Full name

Signature ([Wet \(pen\) signature](#) required)

Date (dd/mm/yyyy)

Director

Company secretary

Other (specify below)

Secondary signature

Full name

Signature ([Wet \(pen\) signature](#) required)

Date (dd/mm/yyyy)

Director

Company secretary

Other (specify below)

Company signatories must indicate their company title.

You can submit this form by:



email: adviserregistration@panorama.com.au
(and cc your Business Development Manager)



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