SelfWealth Ltd

Support Protocol

selfwealth.com.au

March 27, 2018

This document outlines the requirements of SelfWealth and Members in relation to account enquiries, support, and privacy.

Response and Resolution Times

SelfWealth endeavor to respond to your queries within one business day between Monday – Friday, AEST 9am – 5pm. Enquiries outside business hours will be responded to the next business day. From time to time enquiries may require further investigation.

Client Verification

SelfWealth are required to verify your identity, and that you are the true account holder before releasing any account details.

Information SelfWealth will request from you:

- Full name of the account holder
- Email Address
- Date of Birth
- Account Number / Trading Cash account number

Authorised Secondary Account Contact

As a SelfWealth Member you may choose to nominate secondary account authority/authorities. When secondary account authorities are contacting SelfWealth on behalf of you the following will be requested:

- Full name of the account holder and secondary account authority
- Email Address
- Date of Birth of Member and secondary account authority
- Account Number / Trading Cash account number

Failure to Provide Requested Details

If you or the secondary account authority are unable to provide the requested information, SelfWealth will not release any details about the enquiring account. SelfWealth recommend that you update your password on a regular basis to ensure optimum security levels are maintained.

Client Information / Documentation

Any information that is supplied to SelfWealth is strictly confidential.
Hard copy information that has been sent via mail to SelfWealth will be uploaded and saved digitally to a secure location. All hard copy information will be destroyed.
Information that has been given to SelfWealth in regards to identification verification (AML -CTF Act) requires us to keep this documentation for a minimum of seven years.

Other documentation required to be kept by SelfWealth for a minimum of seven years:

- Broker to Broker Authority transfer forms
- Off-Market Transfer forms
- Issuer Sponsored Holdings Conversion forms
- Account Detail Changes forms, including but not limited to email address, residential and postal address, contact numbers, and account names
- Account Closure forms

SelfWealth Support may request additional documentation from you or the secondary account authority at any time if there are suspicions of identity fraud, breach or attempted breach of tax laws, the AML-CTF Act or any suspected criminal activity, (but not necessarily limited to these matters).

Any activity that we deem suspicious in regards to your SelfWealth account, website, app or any other associated accounts require SelfWealth to lodge a report to Austrac. Your SelfWealth account will be suspended until suspicions of identity fraud, breach or attempted breach of tax laws, the AML-CTF Act or any suspected criminal activity (but not necessarily limited to these matters) is cleared.

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Activity deemed suspicious:

- You or the secondary account authority are not who you claim to be;
- Information acquired about you or the secondary account authority may be relevant to an investigation or prosecution for an evasion or attempted evasion of tax law, or offence against a Commonwealth State or Territory law;
- If there is suspicion of money-laundering or counter-terrorism financing.

Information required to verify your identity should your account be suspended:

- Certified copy of driver's license (both sides)
- Certified copy of a bank statement reflecting your nominated bank account details

Each of these documents must match your SelfWealth account details. We will not be able to disclose any details in relation to your SelfWealth account until these documents are received and reviewed.

Documents can be certified by:

- Judge of the Court
- Justice of the Peace
- Solicitor
- Police Officer
- An officer with, or representative of, a holder of an AFS License, with 2 or more continuous years of service with one or more licenses

Technical / Financial & Tax Advice
SelfWealth at no time will advise you in regards to any investment decisions or provide any taxation advice. You should obtain independent advice from an Australian Financial Services Licensee for any financial advice or Tax Professional for any tax advice.

SelfWealth will not enter or action trades on your behalf at any time, all trades must be entered and executed by an authorised account holder or authority.

SelfWealth do not provide network or PC support. For issues regarding network and PC support please contact the appropriate service provider.

Help / Resources
Further help/resources about SelfWealth are available online for all SelfWealth Members.

Resources can be found at:

- SelfWealth Academy and SelfWealth Premium & TRADING YouTube channels;
- SelfWealth FAQs
- SelfWealth Terms and Conditions

Live Chat Support Hours:

Days	Hours
Monday – Friday	9 am – 5 pm AEST
Saturday – Sunday	Closed
State Based Holidays	10 am – 4 pm AEST
National Public Holidays	Closed