

## Appoint, Change or Cancel a Financial Adviser Form

Use this form if you are an existing investor and wish to appoint, change or cancel your financial adviser. You can also use this form to change their details (such as their address).

Please complete all sections in block capitals and using a black pen. If you make an error while completing this form, do not use correction fluid. Cross out your mistakes and initial your changes.

### 1. Instructions if you are appointing, change or cancel a financial adviser.

If you wish to appoint, change or cancel a financial adviser, the following needs to be completed:

- write your account number and account name as it appears on your latest statement
- complete section 2 'Appoint, change or cancel a financial adviser'
- sign the form as per the 'Signing instructions' in section 5.

### 2. Send your documents to us.

You can return your form by post according to the details below:

Send by Post: PIMCO Funds – Unit Registry  
GPO Box 804  
Melbourne VIC 3001  
Australia

### 3. Your Privacy

For the purposes of providing products and services to you, PIMCO Australia Management Limited ABN 37 611 709 507 AFS Licence No. 487 505 ("PIMCO", "us", "our") collects personal information about you (as outlined in the PDS) including from sources such as account applications and other forms, from other written, electronic or verbal correspondence, from your transactions, from your brokerage or financial advisory firm, financial adviser or consultant, and/or from information captured on our internet websites.

When you sign this Application Form, you agree that PIMCO can, consistently with the Privacy Act 1988 (Cth) ("**Privacy Act**"), collect, use and disclose personal information about you for those purposes. In some circumstances, PIMCO may be required by law to collect your personal information, for example under the AML/CTF Act.

Your personal information may be disclosed to entities located outside Australia, including entities located in Brazil, Canada, Germany, Hong Kong, Italy, Japan, Singapore, Switzerland, United Kingdom and United States of America where your personal information may not receive the level of protection afforded under Australian law.

We take reasonable steps to ensure that any third party we disclose your personal information to is bound by privacy obligations to protect information about you.

Under the Privacy Act, you have rights to request access to, and correction of, personal information PIMCO holds about you. You can find more information about how PIMCO handles and manages your personal information, and about your rights in connection with access, correction and complaints, in PIMCO's Privacy Policy at pimco.com.au. If you would like a copy of PIMCO's Privacy Policy, please contact our Compliance Officer on +61 2 9279 1771 or [privacy@au.pimco.com](mailto:privacy@au.pimco.com).

## 1. Investor details

Account number

Account name

## 2. Appoint, change or cancel a financial adviser

I/We wish to:

- ☐ Appoint/change a financial adviser  
☐ Cancel a financial adviser

Please provide details of your financial adviser.

Dealer group name

Adviser name

AFSL number

Authorised representative number

## 3. Appointment of a financial adviser

This section should be completed by your financial adviser. Your financial adviser will have online access to your account. If you would like your financial adviser to receive copies of your statements by email please enter their email address below.

Email address

**Notice to financial adviser** by completing this section of the application form, you are confirming that you hold a current Australian Financial Services Licence (AFSL), or are otherwise authorised to advise on this product.

If you would like to register for adviser online to view your client's investment information please complete the below.

### Financial adviser contact details

Business address. A PO Box/RMB/Locked Bag is not acceptable.

Property name/building name (if applicable)

Unit Street number

Street name

Suburb State

Post code Country

### Postal address (if different to residential address)

A PO Box/RMB/Locked Bag is acceptable.

Property name/building name (if applicable)

Unit/Level

Street number

Street name (or PO Box or other mail details if applicable)

Suburb

State

Post code

Country

## Contact details

Business number (include country and area code)

Mobile number (include country code)

Adviser Signature

Please print full name

Date (DD/MM/YYYY)

## 4. Signing instructions

By completing and signing this form, you

- authorise us to act according with the instructions on this form
- acknowledge that the instructions on this form supersede, and have priority over, all previous instructions received by us, and
- agree to indemnify us from and against all losses, costs, expenses, claims, actions or proceedings brought against us in connection with following your instructions on this form.

### Who needs to sign this form

**Individual** – where the investment is in one name, the account holder must sign.

**Joint Holding** – where the investment is in more than one name, all of the account holders must sign.

**Companies** – where the company has a sole director who is also the sole company secretary, this form must be signed by that person. If the company (pursuant to section 204A of the Corporations Act 2001) does not have a company secretary, a sole director can also sign alone. Otherwise this form must be signed by a director jointly with either another director or a company secretary. Please indicate the capacity in which the form is signed.

**Trust** – the trustee(s) must sign this form. Trustee(s) signing on behalf of the trust confirm that the trustee(s) is/are acting in accordance with such designated powers and authority under the trust deed.

**Power of Attorney** – if you have not already lodged the Power of Attorney with us, please attach a certified copy of the Power of Attorney document that includes Certificate of Witness and Statement of Acceptance and Certified Identification Document of the Power of Attorney. I/We attest that the Power of Attorney has not been rescinded or revoked and that the Donor is still living.

Signature of investor 1, director or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Sole director and company secretary
- ☐ Authorised signatory

Signature of investor 2, director/company secretary or authorised signatory

Please print full name

Date (DD/MM/YYYY)

 /  / 

Company officer (please indicate company capacity)

- ☐ Director
- ☐ Company secretary
- ☐ Authorised signatory