

FINCLEAR SUPPORT GUIDE

INDIVIDUAL CONTACT POINTS

Name	E-Mail	Title	Phone Number
Katie Lines	katie.lines@finclear.com.au	Head of Client Relationships	(03) 9081 3425
Tane Ding	tane.ding@finclear.com.au	Client Relationship Manager	(03) 9081 3425
Karen Hayes	karen.hayes@finclear.com.au	Client Success Specialist	(03) 9081 3421
Lauren O'Neill	lauren.o'neill@finclearservices.com.au	Head of Operations	(02) 8039 9209
Clive Johnson	clive.johnson@finclear.com.au	Application Support Manager	0422 103 435
Lisa Pham	lisa.pham@finclear.com.au	Technology Delivery Manager	(03) 9081 3410
Alper Mustafaoglu	alper.mustafaoglu@finclear.com.au	Technology Delivery Manager	(03) 9081 3436
Nick Avery	nick.avery@finclear.com.au	Chief Commercial Officer	(02) 8039 9210
Martin Tuckwell	martin.tuckwell@finclear.com.au	Head of Execution	(02) 8039 9205
Sophia Skilbeck	sophia.skilbeck@finclear.com.au	Product Delivery Manager	0410 083 813

OPS TEAM CONTACT POINTS

Name	Function	Email	Phone Number
Account Services	New Accounts and Account Maintenance	accountservices@finclear.com.au	(02) 8039 9206
Bookings	Manual Bookings, Re-Bookings	bookings@finclearservices.com.au	(02) 8039 9237
Cash	Cash Settlement, EFT's, BPAYs, Dishonours	cashsettlements@finclearservices.com.au	(02) 8039 9243
Settlements	Stock settlement and DVP	settlements@finclear.com.au	(02) 8039 9227
Placements & IPOs	Bookings and settlement for Placements/IPO's	corporate@finclear.com.au	(02) 8039 9268
Corporate Actions	Share Purchase Plans, Buybacks & Takeovers	corporateactions@finclear.com.au	(02) 8039 9228
Stock Transfers	Stock Transfers and conversions	transfers@finclear.com.au	(02) 8039 9251
Estates	Notifications for Deceased Estates or Bankrupt Estates, Unlocking of HIN's & queries	estates@finclear.com.au	(02) 8039 9251
International	International stock transfers & queries	opsinternational@finclear.com.au	(02) 8039 9251

Please note, Operational forms are available for download via <https://finclear.com.au/forms-terms-conditions/>.

EXECUTION TEAM CONTACTS

Name	Title	Email	Phone Number
Execution Hotline	This is the fastest way to contact the Execution Team	execution@finclear.com.au	(02) 8039 9211 1800 649 518 (Option 4)
Martin Tuckwell	Head of Execution	Martin.Tuckwell@finclear.com.au	(02) 8039 9205
Matt Kite	Senior Manager	Matthew.Kite@finclear.com.au	(02) 8039 9220
Andrew Nickson	Senior Equity Trader	Andrew.Nickson@finclear.com.au	(02) 8039 9259
Paul Challita	Senior Equity Trader	Paul.Challita@finclear.com.au	(02) 8039 9201
Will Lam	Equity Trader	Will.Lam@finclear.com.au	(02) 8039 9239
Scott Coventry	Equity Trader	Scott.Coventry@finclear.com.au	(02) 8039 9263
Nickolas Eleftheriou	Equity Trader	Nickolas.Eleftheriou@finclear.com.au	(02) 8039 9258
Pete Martin	Equity Finance Trader	Pete.Martin@finclear.com.au	(02) 8039 9204
Equity Finance Desk	Stock Borrow and Loans	EFD@finclear.com.au	1800 649 518 (Option 5)

ACCOUNT SERVICES

Function	Procedure	Contact Point
Account Opening	Account Opening can be processed via TCOps based on a client signed and vetting agreement and relevant supporting documents. FinClear do not require you to email in the account opening documents to us.	accountservices@finclear.com.au
Account Updates	<p>Updates to account static data can be completed via TC Ops under the Account Maintenance module. The intermediary is responsible for ensuring these updates are made off the back of vetted client instructions.</p> <p>Via this module you may:</p> <ul style="list-style-type: none"> Update Client Address details Update/Add Contract Note Recipient Update contact numbers Update settlement bank account details Update brokerage Add/Update TFN/ABN details and send to registry Add/Update dividend banking and send to registry <p>Please note</p> <ul style="list-style-type: none"> - For any queries or issues updating required account details, please email the team as required - Any account closure requests are to be sent via email to our account services team - For Sponsorship (HIN) of existing issuer sponsored/DVP accounts please email account services team to process, along with a copy of the signed sponsorship agreement 	accountservices@finclear.com.au

BOOKINGS

Function	Procedure	Contact Point
Re-Bookings	<p>Re-bookings to be sent through via e-mail instruction, please complete the FinClear Re-Booking Template</p> <p>Note – Re-bookings for IPO/Placements are to be sent to the corporate team</p>	bookings@finclearservices.com.au
Manual “Give up” Bookings	FinClear Booking Template to be completed and sent through to FinClearBooking Team with external contract note so the team has proof of a valid market trade	bookings@finclearservices.com.au
Suspense Allocations	Completed bulk booking template to be loaded via TC Ops and submitted or sent directly to the bookings team for processing	bookings@finclearservices.com.au

SETTLEMENTS – CASH & SCRIP

Please note, all instructions must be sent by 10am AEST for same day processing

Function	Procedure	Contact Point
RTGS Requests and International payment requests	Please send instructions for any one-off RTGS Payments or International payments to the Cash Team prior to 10am, for same day processing. Please note these will be assessed on a case by case basis and charges will apply	cashsettlements@finclearservices.com.au
Dishonoured Receipts/Payments	FinClear will monitor all dishonoured payments and receipts and inform you same day. These are to be acted upon and resolved as soon as possible	cashsettlements@finclearservices.com.au
DVP Settlements	<p>FinClear will advise on the afternoon of T+1 if any DVP Trades are still unmatched.</p> <p>If you believe the trade will fail FinClear must be informed by 9.30am on T+2 so we can attempt to borrow the stock.</p> <p>Please note, for IPO/Placement transactions, contact the corporate team</p>	settlements@finclear.com.au

PLACEMENTS & CORPORATE ACTIONS

Function	Procedure	Contact Point
Buy-Backs/Takeovers – BPAY Payments	<p>FinClear Buy-Back/ Takeover BPAY Template to be completed and sent through to FinClear Corporate Actions Team 2 business days prior to the offer closing and by 10am for same day processing. Anything received after that will be processed on a best endeavours basis.</p> <p>The intermediary is responsible for ensuring the instructions and information provided to FinClear is accurate and correct.</p>	corporateactions@finclear.com.au
Unregistered Stock	<p>FinClear will protect entitlements for any stock that remains unregistered at COB on record date for a Corporate Actions event and notify you of the options for that particular event.</p>	corporate@finclear.com.au
IPO's/Placements	<p>FinClear Placement Allocation Template, completed payment request and supporting documentation is to be sent through to the FinClear Corporate Team for processing. These instructions are to be sent:</p> <p>Lead: 4/5 days prior to settlement</p> <p>Non-lead: 2 days before settlement</p> <p>Any re-booking requests for IPO/Placement transactions are to be sent to Corporate.</p>	corporate@finclear.com.au

Please note, detailed information around corporate related payments can be found in the the Corporate FAQ guide and the FinClear Payment Guide

TRANSFERS & CONVERSIONS

Function	Procedure	Contact Point
HIN Transfer - Out	Scanned copy of a completed and signed HIN Transfer request	transfers@finclear.com.au
HIN Transfer - In	Scanned copy of a completed and signed HIN transfer request. These can be processed by the intermediary via TC Ops Transfers tool.	
Stock Transfer - Out	Scanned copy of a completed and signed Broker form or Standard Transfer (Off Market) form	
Stock Transfer - In	Scanned copy of a completed and signed Broker to Broker form or Standard Transfer (Off Market) form. The transfer can be processed by the intermediary via TC Ops Transfers tool.	
Conversions	Issuer to CHESS/CHESS to Issuer Conversions are processed by the Intermediary via TC Ops Transfers tool. Please note that for Issuer to CHESS Conversions, Registration details on SRN must be <u>IDENTICAL</u> to CHESS Registration	

Please note, Transfer forms are available for download via <https://finclear.com.au/forms-terms-conditions/>

The intermediary is responsible for vetting all transfer documentation including validation of signatures before providing to FinClear for processing or before submitting via TCOPs transfers module. Wet signatures must be applied to off market transfer forms. You may refer to FinClear's electronic signature guide for additional information about wet and electronic signatures.

Function	Procedure	Contact Point
Deceased Estates	<p><u>What do I do when I am notified of the death of a client?</u></p> <p>As soon as you have been notified of the death of a client, you must notify FinClear immediately</p> <p>1. Individual accounts – a HIN Lock must be applied within 24 hours</p> <p>Once you notify FinClear of the client’s passing where the client has a HIN with FinClear, FinClear will update the name of the account to ‘Estate of [deceased’s name]’ and lock the deceased’s Holder Identification Number (HIN) within 24hours of notification. This is in line with the time limit imposed by the ASX (the only exception to this ruling is joint accounts). The CHESS Holder Record Lock is a requirement of the CHESS procedure guidelines, and is initiated by an electronic message to CHESS and all relevant registries. It remains in place until such time as the required documentation is received to unlock it. Locking the HIN will prevent:</p> <ul style="list-style-type: none"> • Transfers or Conversions from the deceased’s HIN • Acceptance of certain Corporate Actions (namely Takeovers, Buy- Backs) • Withdrawal of previously accepted Corporate Actions • Change of a Controlling CHESS Participant <p>Once the holder lock is removed, the assets must be distributed in line with the estate documentation and HIN cancelled within 90 days (3 months).</p> <p>For holdings that remain on the HIN at the end of 90 day period, FinClear will convert the shares to Issuer sponsored and cancel the HIN in line with ASX requirements. A longer period may apply in the event an extension letter has been executed and approved by FinClear, which may allow the holdings to remain for a maximum of 12 months from the date of unlocking. At the expiration of the 12 months period, if any holdings remain, the stock will be converted to issuer sponsored and HIN cancelled.</p>	<p>estates@finclear.com.au</p>

Function	Procedure	Contact Point
Deceased Estates	<p><u>What do I do when I am notified of the death of a client?</u></p> <p>As soon as you have been notified of the death of a client, you must notify FinClear immediately</p> <p>2. Joint accounts – Stock must be transferred to the Survivor within 24 Hours</p> <p>Upon receipt of proof of death, you (the intermediary) is required to open a new account in the Survivors name and request transfer of assets to the survivor within 24 hours, in line with ASX requirements.</p> <p>Other things to consider are:</p> <ul style="list-style-type: none"> • Bank accounts – For bank accounts solely in the deceased person’s name, no transactions on the nominated bank account will be allowed through FinClear until probate is granted. In the meantime, it is advisable to open a new bank account in the name of the estate. • Issuer Sponsored shares – If the deceased holds any Issuer Sponsored shares, the registry should be informed immediately so they can record the death of a security holder and the details of the executor/s, administrator/s if known. The title or salutation of the deceased should be changed to "ESTATE" or "EST" together with any change of address as requested. We can convert them to the CHESS HIN once we are in a position to unlock the HIN in question. 	<p>estates@finclear.com.au</p>

MANAGED ACCOUNTS

Function	Procedure	Contact Point
MDA Set Up/Implementation	Establishing a new FinClear MDA account/Agreement/LPOA completion	managedaccounts@finclear.com.au
Rebalancing/Reporting Requests	Any queries relating to portfolio rebalancing or reporting	managedaccounts@finclear.com.au

IT SERVICE DELIVERY

All IT requests should be raised by an Authorised Requestor from your organization via the Client Support portal: <https://finclear-amc.ivanticloud.com/>

Please remember that the more information provided at the time of raising the ticket will assist FinClear in resolving your request in a timely manner.

Function	Procedure
Client Reporting	For any Ad-Hoc or Scheduled Client Reporting requests that you cannot run directly from TradeCentre.
Adviser Reporting	For any Ad-Hoc or Scheduled Adviser Reporting requests that you cannot run directly from TradeCentre.
New Login Requests	New Login Requests: please state which application and which account to mirror in the request.
Password	Please ensure the application and username is stated in the request
Client Data Feeds	Finclear can automatically send your Client data to: X-Plan; Class Super; Complii For alternative Third Party Software please provide the details in the request, and we will work with the vendor to determine if a feed can be established.
Trade Files	If you require your clients trade information to be supplied to a Third Party (Wrap Provider, Margin Lender, Praemium etc.) provide the details to FinClear and we will liaise with them to see how best to deliver the file.
Other requests	Branch Codes, Security Codes, Advisor Codes, Broker Codes, White labelling can all be requested via the portal.