



IOOF

Electronic Signatures

Response to COVID-19: A temporary change in process to facilitate client transactions

Supporting our advisers

During these difficult times, many of you have had to meet significant challenges, including looking after your families, while continuing to fulfil your obligations to your clients.

To help support you and your clients, we would like to share changes we have made to the ways we do business.

Changing the way we do business

As a temporary measure we have introduced three ways you can provide **electronic client signatures** including on new business application forms:

- DocuSign® (our recommended and preferred option)
- Digital signatures eg using a stylus pen
- Scanned or photographed copies.

This applies to all products on the IOOF Platform.

Please refer to the Electronic Signatures matrix on page 2 for the new process.



REMEMBER: Where you have adviser authority for your clients, you can perform transactions online using **Portfolio Online** or **IOOF Online**.

Original signatures still required

While we have been able to implement these temporary provisions to most documents, we still require documents with original signatures to be mailed to IOOF for the following:

- Adding or Revoking a binding nomination.¹
- Statutory Declarations.
- Original certified copies of identification, Death Certificate, Guardianship and Power of Attorney documents and any other original certification we may require.
- Original TFN Declaration form for pensioners under 60 years old.
- Other forms as may be required (eg clients who may be deemed high risk under AML/CTF Rules).

Contacting clients for confirmation

Please be aware that there will be circumstances where we need to contact the client to confirm their identity.

¹ Renewals can be completed electronically by the client on IOOF Online

Electronic Signatures

Type of document	DocuSign	Digital signature	Scanned or photographed documents
New Business application <ul style="list-style-type: none"> IOOF Pursuit Select IOOF Pursuit Focus IOOF Super 	Form signed by DocuSign emailed (in full) from the adviser's email address.	Digitally signed form emailed (in full) from the adviser's email address.	Form with original signature scanned or photographed and emailed (in full) from the adviser's email address.
Online New Business application <ul style="list-style-type: none"> IOOF Essential eXpand Shadforth Portfolio Service 	Form signed by DocuSign uploaded (in full) as part of online application.	Digitally signed form uploaded (in full) as part of online application.	Form with original signature scanned or photographed uploaded (in full) as part of online application.
Other requests and forms	Transactions for which the adviser has client authority Email from the adviser's email address. All other transactions Must be from client's email address on file. If we do not have an email address or it is different, then a security phone call to the client will be required		

Important notes

DocuSign

We must receive both:

- ✓ the signed application form, and
- ✓ the certificate of completion.

The document must be sent to us from:

- ✓ the Adviser's email address.

All documents must be:

- ✓ received in full. Partially will not be accepted.

Digital Signature

This refers to a client making their normal handwritten signature with a stylus or finger on a tablet or smartphone.



TIP: Sign on your device: There are free to use apps available on both Apple® and Android™ devices which allow a PDF document to be signed by a client using their normal handwritten signature.

Scanned documents

Where documents are scanned:

- ✓ all pages must be scanned together.

We cannot accept partial scans even if sent in the same email.

Photographed documents

If a client does not have access to a scanner and would like to take photos on their phone:

- ✓ each page must be initialled and dated and sent in one email by the adviser.



TIP: Scan on your phone: Your mobile phone can be used to create a scan of documents. Help articles on these features can be found here for **Apple** and **Android**.

Attestation

If requested by us, you will be required to attest that your client's signature was validly obtained using any of these electronic methods.

Forms and instructions where we can receive an electronic signature

- Appointment of adviser
- ATO downsizer contribution declarations
- Benefit request to transfer forms (SuperStream rollover)
- CGT Small Business exemption contribution declarations
- Change of details form
- Contribution splitting
- Direct debits
- E-comm declaration
- Family fee aggregation
- Fee adjustments (reducing or removing fees can be submitted by email)
- Fee establishment
- High Threshold Transaction form
- Insurance application/transfer
- Insurance opt in
- Investment instructions
- New Business Application forms
- Non lapsing binding nomination
- Non-binding nominations
- Renewing binding nomination
- Overseas investor form
- Personal injury election form
- Politically Exposed Person form
- Regular withdrawal plan
- Request to transfer forms
- S290 tax deduction
- Third party authority
- Withdrawal (Ad hoc)
- Work test declaration for Over 65 year old

More information

Please contact your IOOF representative.