

APPLICATION PORTAL

User Guide

Release Date | 18 August 2017

Version 1.2

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1 INTRODUCTION

We're excited that you have chosen to partner with Centrepont Alliance Financial Advice. With a dedicated Business Consultant and Practice Transitions Coordinator to support you every step of the way, combined with a user-friendly online application portal, we are committed to making your transition to a Centrepont Alliance Financial Advice AFSL as seamless as possible.

Whether you are joining an existing business, starting your own business or transitioning your business to our AFSL, our convenient online application portal allows you to save and return to your application later and review the status of your application as you go.

Welcome to a new world of financial advice!

2 YOUR ASIC AUTHORISATION

The online application portal is designed to cater for all authorisation and application types for both of the Centrepont Alliance Financial Advice AFSLs.

Whether you are joining an existing Centrepont business, transitioning your existing business or setting up a new business, the online application portal will dynamically adjust its requirements to cater for all options as you complete the fields.

2.1 SELECTING YOUR AFSL

Centrepont Alliance Financial Advice has two AFSL's;

- Professional Investment Services Pty Ltd (AFSL 234951) (PIS) and
- Alliance Wealth Pty Ltd (AFSL 449221) (AW).

Ensure you select the correct AFSL when completing the "About your business" module.

2.2 SELECTING YOUR AUTHORISATION TYPE

Within the "About your business" module the 'Application Type' section requires completion of the type of your applications. If you are unsure of the type of authorisation you are applying for, please don't hesitate to contact Practice Transitions.

2.2.1 SUB- AUTHORISED APPLICATION

If you are joining a Corporate Authorised Representative business (new or existing) as a Sub-Authorised Representative, please refer to the below example illustrating how to complete the 'Applicant Type' section;



ABOUT YOUR BUSINESS

SAVE



Applicant Type

Select Licensee

- ☒ Alliance Wealth
☐ Professional Investment Services

Type of Authority

- ☒ Sub-Authorised Representative
☐ Authorised Representative
☐ Accountants SMSF Authorisation

Corporate Authorised
Representative Application

No ☐ Yes

Please confirm whether you are
applying as a Sub-Authorised
Representative of an existing or
new Corporate.

Existing ☐ New

Please specify the Corporate or
Business name you will be
joining.

Smart Money Financial Services

Please note - All Sub-Authorised Representative for a new Corporate Representative application will individually need to complete an application.

2.2.2 AUTHORISED REPRESENTATIVE APPLICATION

If you are applying to become a sole trading Authorised Representative, directly Authorised by the AFSL, please refer to the below example illustrating how to complete the 'Application Type';

Applicant Type

Select Licensee

☒ Alliance Wealth
☐ Professional Investment Services

Type of Authority

☐ Sub-Authorised Representative
☒ Authorised Representative
☐ Accountants SMSF Authorisation

Corporate Authorised Representative Application

No ☐ Yes ☐

Please confirm whether you are applying as a Sub-Authorised Representative of an existing or new Corporate.

Existing ☐ New ☐


Please specify the Corporate or Business name you will be joining.

Smart Money Financial Services

2.2.3 CORPORATE AUTHORISED REPRESENTATIVE APPLICATION

If you are completing the application for a new Corporate Authorised Representative, please refer to the below example illustrating how to select the 'Applicant Type' section.

Please note – If you are a non-Authorised director please contact Practice Transitions to navigate through this module. All Sub-Authorised Representative of a Corporate will individually need to complete an application.


About Your Business
SAVE

Applicant Type

Select Licensee

☒ Alliance Wealth
☐ Professional Investment Services

Type of Authority

☒ Sub Authorized Rep
☐ Authorized Rep
☐ Accountants SMSF Authorisation

Corporate Authorised Representative Application

No ☐ Yes ☒

Please confirm whether you are applying as a Sub Authorised Rep of an existing or new Corporate.


Existing ☐ New ☒

Please specify the Corporate or Business name you will be joining.

ABC Pty Ltd

2.2.4 ACCOUNTANTS SMSF AUTHORISATION APPLICATION

If you have an existing referral relationship with a Centrepont business and are applying for a Accountants SMSF Authorisation, please select 'Accountants SMSF Authorisation' as indicated below;



ABOUT YOUR BUSINESS

SAVE

Applicant Type

Select Licensee

☐

Alliance Wealth

☒

Professional Investment Services

Type of Authority

☐

Sub-Authorised Representative

☐

Authorised Representative☒

Corporate Authorised Representative Application

No

☐

Yes

Please confirm whether you are applying as a Sub-Authorised Representative of an existing or new Corporate.

Existing

☐

New

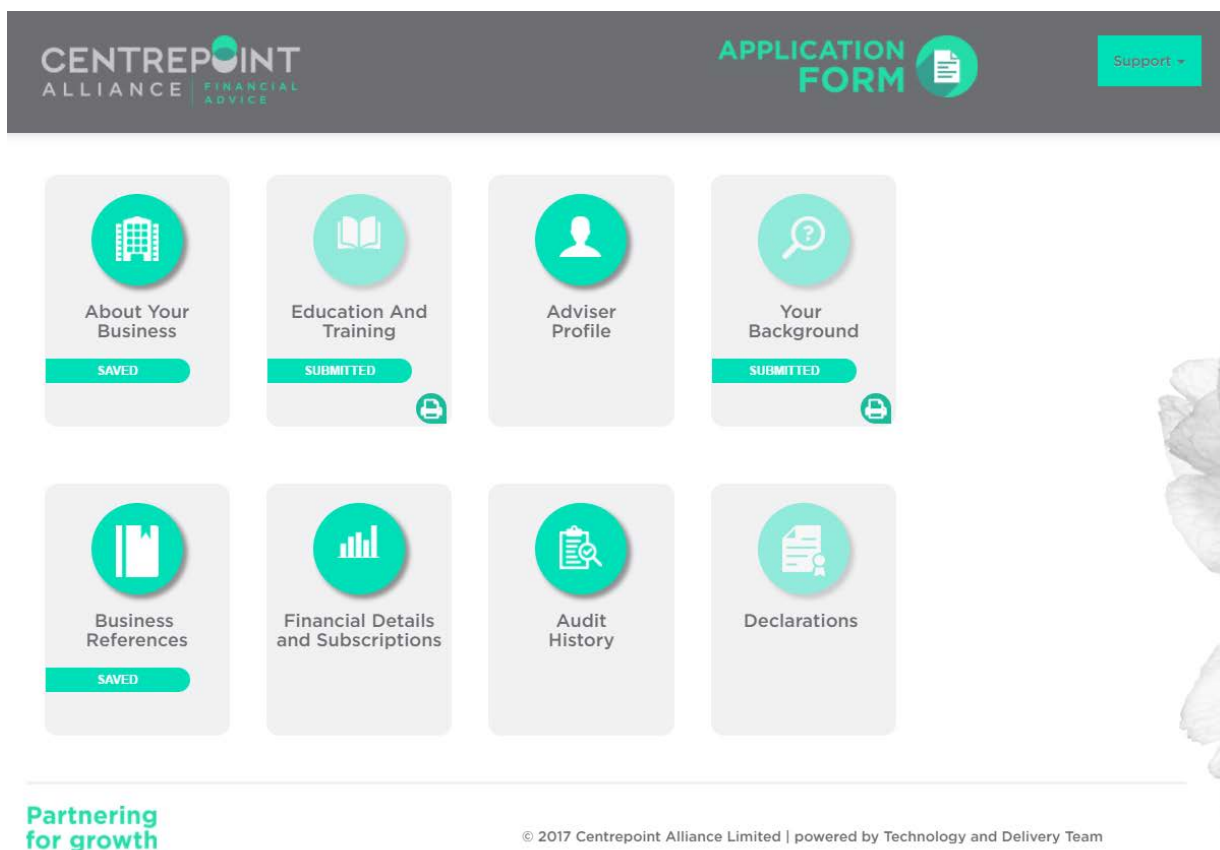
Please specify the Corporate or Business name you will be joining.

Smart Money Financial Services

3 NAVIGATING THE PORTAL

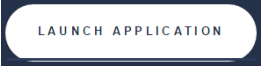
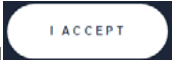
The home page provides you with a refreshing user-friendly snapshot of both the progress you have made, and the status of submitted modules. You can easily click through the modules, print submitted modules, access support and return to your saved work from your homepage by clicking on the relevant buttons.

You can easily click through the modules, print submitted modules, access support and return to your saved work from your homepage by clicking on the relevant buttons.



3.1 ACCESSING THE PORTAL

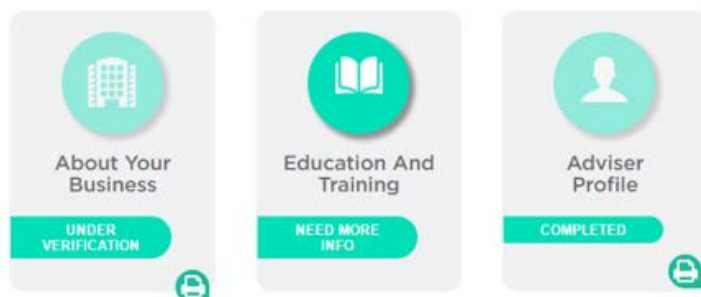
The unique URL provided in your 'next steps' email is the only way to access your portal while completing your application. File your email somewhere safe and secure so you can return to your application or check on the progress.


When ready  and read and accept the Privacy Statement by clicking .

We recommend using google chrome web browser for the best performance of the portal.

3.2 MODULE STATUS AND PRINTING

During the application process, you can monitor the progression on the application by reviewing the changes on the modules in the green status bar. You will see these status being updated once submitted as we review and verify your application. If we need more information we will make contact with you to clarify the requirements.



Once the module has been submitted the option is made available for you to print  the module for your record keeping. You will need to print each module for a complete application.

3.3 NAVIGATING THE MODULES




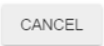


The online application is broken into eight modules. You can complete the modules in any order with the exception of 'Declarations', which will only become accessible once all other modules are submitted to complete your application.

The table below summarises the content required within each module.

Module Name	Module Summary
About your Business	Requires entry of your contact information, personal and business details and authorisation details.
Education and Training	Requires entry of details regarding your current memberships, registrations and associations as well as the attachment of your certified qualifications and training register as applicable.
Adviser Profile	Requires entry of details that will be included in your personalised adviser profile upon appointment i.e How you get paid : Salary, profit sharing etc.
Your Background	Requires confirmation and disclosure in regards to your personal and/or businesses compliance, criminal, bankruptcy and complaints history as well as current/previous professional indemnity insurance.
Business References	Requires entry of personal and contact details of two business references and attach a copy of your resume.


Financial Details and Subscriptions	Requires entry of account details for payment of revenue and the completion and attachment of ongoing payment forms, Compass application and additional research applications.
Audit History	Requires entry of your audit history, previous compliance manger details and a compliance authority form.
Declarations	You will be required to agree and declare the applicable statements. This module will not become available until all other modules have been submitted.

3.4 SAVING AND SUBMITTING

1. From the home screen, click on the module that you would like to complete.
2. Work through the screen to complete all fields attaching supporting documents as required.
3. At the bottom of each module, you have the options to    your work within each module.
4. If you click , you will be taken back to the home page and any work will be lost if not saved.
5. If you click , your work will be saved, and you can safely return to your work later or submit.
6. If you click , your work will be submitted, your screen will close and the module status will be updated to 'submitted'. If you have not completed all mandatory fields, you will need to review the form for test indicated in red. Save your work and then click, submit again. You will not be able to edit your application once submitted. We can unlock the modules upon request as required.

3.5 MODULE TIMEOUT

The modules will time out after 45 minutes – ensure you save or a **Whoops :(** message will appear. Any data entered and not saved during this time will be lost.

 will give you the option to return to the module and complete the sections in your own time.

4 REQUIRED DOCUMENTATION

To complete the online application you will be required to upload supporting documentation as you complete the modules. To assist in the preparation of the application, below is a list of the documents that will be required.

4.1 SUPPORTING DOCUMENT SUMMARY

4.1.1 TABLE 1 – SUPPORTING DOCUMENTS REQUIRED FOR UPLOAD

Requirement	Available in module	Certification Required	Mandatory requirement
100 points of identification (certified)	About Your Business	✓	✓
Working Visa	About Your Business	✓	If applicable
CPD Training Register – 12 months	Education and Training	✗	✓*
Qualifications and Transcripts	Education and Training	✓	✓
Professional association membership certificate	Education and Training	✗	If applicable
Discharged Bankruptcy	Your Background	✗	If applicable
Insolvency Acts	Your Background	✗	If applicable
Scheme of Arrangements	Your Background	✗	If applicable
Legal Action	Your Background	✗	If applicable
Resume	Business References	✗	✓
Audit Report	Audit History	✗	✓*

Note - * Not required for first time authorisations.

4.1.2 TABLE 2 – DOCUMENTS AVAILABLE WITHIN THE PORTAL FOR DOWNLOAD AND UPLOAD

Requirement	Available in module	Certification Required	Mandatory requirement	
100 points guide	About Your Business	✗	✗	Info sheet only
CV Check Authorisation Form	Your Background	✗	✓	Select relevant AFSL form
Compass Application	Financial Details and Subscriptions	✗		Mandatory for AW applications only
Morning Star Application	Financial Details and Subscriptions	✗		
Direct Debit Authority Form	Financial Details and Subscriptions	✗		Select relevant AFSL form
Authority to Release Information Form	Audit History	✗	✓	

4.2 WHO CAN CERTIFY DOCUMENTS

Centrepont Alliance will only accept people from the following professional and occupational groups to certify documents

- a Justice of the Peace
- a Commissioner for Declarations
- a Solicitor or Barrister
- a Notary Public

5 FINALISING YOUR APPLICATION

As each module is submitted, Practice Transitions will receive notification and commence verification of your application. Once all modules have been submitted and the application is complete, Practice Transitions will complete the application due diligence and advise you of the outcome once finalised.

1. Practice Transitions will then work with you to schedule an ASIC authorisation appointment date and distribute your agreements to ensure a seamless transition.
2. Professional Standards will prepare your adviser profile and have send it to you for review prior to your appointment to ensure you are ready to see clients as soon as appointment is completed.
3. You will receive a welcome email upon appointment to your new AFSL.

6 ONCE YOU'RE APPOINTED

Once you have been appointed, your Business Consultant and Client Engagement Consultant will welcome you into the Centrepoint community and work with you to ensure you have everything you need to start operating under our licence. This will include introductions to key departments and people like our Professional Standards, Technical, Education, Advice Revenue and Technology teams. You will receive login details to all our systems such as the adviser intranet, Compass and Kaplan and receive all your advice collateral. We will let you know of all the upcoming events in the calendar, peer groups you can join and invite you along to the Adviser Induction Course where you can meet other newly appointed advisers. Our aim is to support you so you can hit the ground running and start seeing clients and giving advice as soon as possible.

7 SUPPORT

Within the online application portal, you can access the User Guide and Frequently Asked Questions as well as having the Practice Transitions Team contact details easily accessible by navigating to the support button at the top right hand corner of the home page

If you require any additional assistance while completing your application, please contact Practice Transitions via applications@cpal.com.au or call 1300 557 598.

7.1 FREQUENTLY ASKED QUESTIONS

7.1.1 HOW LONG WILL IT TAKE TO SUMIT THE APPLICATION?

After gathering supporting documents, approximately one hour. You can save your application at any stage and return when it is convenient for you.

7.1.2 HOW LONG WILL I BE ABLE TO ACCESS THE PORTAL TO COMPLETE MY APPLICATION?

The link will provide you access to the online portal from your first click until the application process is complete.

7.1.3 HOW DO I KNOW THAT MY DATA WILL BE KEPT SECURE?

Please refer to Centrepoint's privacy policy <https://www.centrepoinalliance.com.au/privacy-policy/>

7.1.4 IF I AM UNABLE TO COMPLETE ANY PART OF THE APPLICATION, WHO CAN I CONTACT FOR HELP?

You can contact Practice Transitions for any assistance in the application process. Simply, send an email to applications@cpal.com.au, or call 1300 557 598 during AEST business hours.

A red square button with the word "Support" in white text and a small white arrow pointing to the right.

The  drop down can assist with FAQ's and User Guide available.

7.1.5 WHERE DO I SEND MY COMPLETED PAPERWORK?

Your paperwork is delivered to Practice Transitions via the online application.

If any physical documents are required to be sent, please forward to Centrepont Alliance, Practice Transitions, Level 13, Corporate Centre One, 2 Corporate Court, BUNDALL QLD 4217.

7.1.6 DO I HAVE TO BE ACCREDITED TO PROVIDE ADVICE ON SELF MANAGED SUPER FUNDS, LISTED SECURITIES?

Yes. Education will assess your qualification and advise if they meet the requirements to be accredited.

7.1.7 WHO CAN CERTIFY THE DOCUMENTS?



Certification can be completed by the following:

- Justice of the Peace.
- Commissioner for Declarations.
- Solicitor or Barrister.
- Notary Public.

7.1.8 SIZE OF THE DOCUMENTS TO BE UPLOADED?

The total file size of the uploaded documents is 6MB.

7.1.9 WHY WON'T THE MODULE SUBMIT?

All modules in the online application have mandatory fields. You are unable to submit a module unless the mandatory field requirements are met. Fields with  will require entry. Fields with  are complete. Ensure you save your work before submitting.

7.1.10 WHY CAN'T I ACCESS THE DECLARATIONS MODULE?

The declarations module is only available once all other modules have been saved and/or submitted. The module contains two statements that you will need to 'Agree' and 'Declare'.

7.1.11 I CAN'T FIND MY LINK TO THE ONLINE PORTAL. HOW DO I GET IT BACK?

We can resend the link to you. You can send an email to applications@cpal.com.au or call Practice Transitions on 1300 557 598. Please keep the email/link safe, as this will be used for your access to the online application throughout this process.

7.1.12 WHY HAS MY MODULE CHANGED STATUS?

The statuses will be updated throughout the application process. Practice Transitions will be in touch with you when the status has been changed. The application stages are:

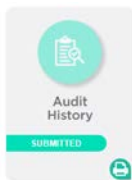
- Submitted
- Verification underway
- Need more information
- Verified

7.1.13 THE MODULE TIMED OUT?

Each module has a time out function for your security. The module will time out after a 45 minute non-use period and the “Whoops” message will appear. Any data entered and NOT saved during this time will need to be re-entered.

7.1.14 CAN I PRINT OUT MY APPLICATION?

Once the module is submitted, the print option becomes available.



7.1.15 HOW DO I ADD MORE INFORMATION TO MY APPLICATION?

Each module has an icon where you can include any additional information that applies to your application

that you would to include. Click on the icon  and a free text field is available for you.

7.1.16 HOW CAN I ADD TO/REVIEW MY MODULE ONCE SUBMITTED?

After submitting the module you are unable to edit. The module is locked. If you require access, please

notify Practice Transitions, and we can unlock the module by changing the status



7.1.17 AFTER I SUBMIT ALL MY MODULES, WHAT HAPPENS NEXT?

Practice Transitions can commence the application process. The information you have entered and uploaded in your application will be available for Practice Transitions to assess and commence the due diligence for the application process. If we require any additional information, we will be in contact with you. You can follow the progress of your application by viewing the modules change status on the online portal.

7.1.18 ONLINE APPLICATION SCREEN SHOT

